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ABSTRACT

The eleventh volume of the introduction to psychology and leadership course (see the final reports which summarize the development project, EM 010 418, EM 010 419, and EM 010 484) concentrates on personnel evaluation. Like Volume One (EM 010 420), this document is a self-instructional syndactic text with information and criterion tests. EM 010 421 through EM 010 447 and EM 010 451 through EM 010 512 are related documents. (SH)

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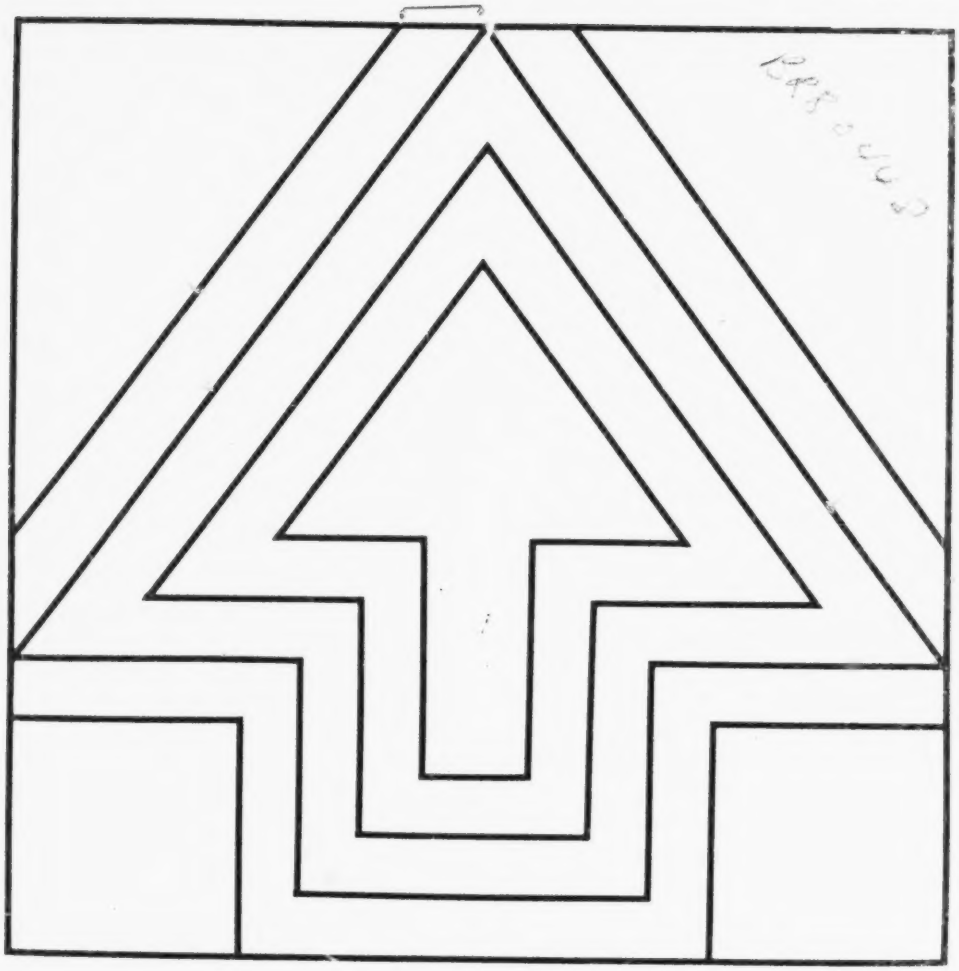

Introduction To Psychology And Leadership

Volume XI

Personnel Evaluation

EM 010 443

ED 071301

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segments I, II, & III

Volume XI

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WESTINGHOUSE LEARNING CORPORATION
Annapolis, Maryland
1971

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United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segment I

The Role of Evaluation

Syndactic Text

Single Volume

(ST/SV)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

FOREWORD

"The more extensive a man's knowledge of what has been done, the greater will be his power of knowing what to do."

Benjamin Disraeli

These segments on personnel evaluation suggest only briefly the exhaustive literature that exists in this subject area. Often, leaders and supervisors do not face up to the importance of evaluation. It is an unpleasant task to sit down with a subordinate and make a critical analysis of his work. Too often the man responsible for evaluation takes the easy route and offers quick generalities to avoid unpleasantness and to cover up his own limitations as an objective evaluator. This first segment lays the ground work for later details by explaining the role, characteristics and general advantages of evaluations.

THE ROLE OF EVALUATION

Summary 1

Introduction to Evaluation

Performance evaluation is a systematic appraisal of personnel by their supervisors or others who are familiar with their work performance. The evaluations are recorded on prescribed forms in accordance with specified procedures. They become a part of the personnel records of individuals and are available for use in connection with possible personnel actions.

Formal appraisals are used to reduce favoritism and snap judgments in personnel decisions. Since formal appraisals are normally subjective (qualitative), they should not become a substitute for objective (quantitative) records (output, quality, etc.) which might be available.

Evaluations are important to the Navy because the naval officer corps, enlisted personnel, and civilian employees are all part of an organizational structure which forms a pyramid. Since "all cannot reach the top," some systematic and just evaluation method is required. Evaluations provide the basis for future personnel action such as:

1) Duty assignments
2) Selection for promotion of those best fit for assuming increased responsibility
3) Determination of the need for correction of individual deficiencies
4) Elimination of unfit personnel

Favorable evaluations provide the incentive and recognition which should encourage superior personnel to remain in the service, while unfavorable evaluations should tend to eliminate the poor performer and encourage the marginal one to greater effort.

There are four terms related to evaluation which need to be defined. Performance is what a man does--his actual behavior or output. Ability is what a man is capable of doing. Although performance may be the only way of measuring ability, ability connotes the possible rather than the actual. An example might be a track star whose sprained ankle prevents him from performing according to his ability. Aptitude is a man's future or potential abilities and performance. This term is usually applied before an individual receives training. Achievement is a man's past performance or evaluated performance.

This is the end of Summary 1. Now, take Summary Pre-Quiz 1 on the next page.

Summary Pre-Quiz 1

Introduction to Evaluation

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes the purpose of formal appraisals?

   a. As a substitute for objective (quantitative) records

   b. To reduce favoritism and snap judgments in personnel decisions

   c. To help a superior in discussions with subordinates about their performance

   d. As defensible reasons for recommendations a superior may make concerning a subordinate.

---

2. Which statement correctly describes the importance of evaluation to the Navy?

   a. Evaluations are correct statements which evaluate the importance of the Navy and therefore should be used by all personnel for indoctrination.

   b. Evaluations serve as a subjective source of information for use in connection with possible personnel actions.

   c. The Navy is an organizational structure which forms a pyramid. Since all cannot reach the top, a just and systematic evaluation method is required.

   d. Evaluations provide incentive and recognition for good performers and should tend to eliminate poor performers in the Navy.

3. Which phrase correctly defines the term "ability"?

   a. What a man is capable of doing

   b. Actual behavior or output

   c. Future or potential performance

   d. Evaluated performance

Now, check your answers on page 6.

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ANSWERS TO SUMMARY PRE-QUIZ 1

1. b
2. c
3. a

If all your answers are correct, go on to Summary 2 on page 23. If you missed one or more questions, go to the next page and go through Programed Sequence 1.

Programed Sequence 1

Introduction to Evaluation

OVERVIEW: In this frame sequence, you will learn the concept of evaluation, its purpose, its importance to the Navy, and some related terms.

---

1 A performance evaluation is a systematic appraisal of personnel by their supervisors or others who are familiar with their work performance.

Which of the following is a performance evaluation?

a. BM1 White is a conscientious and capable petty officer who willingly assumes responsibility. He can be relied upon to take effective and timely action in an emergency. He handles his section well and easily obtains a maximum effort from his subordinates. His oral and written command of the English language is excellent.

b. GMT2 Brown is a calm and considerate individual, clean cut in appearance, and of good moral character.

[2] Evaluations are recorded on prescribed forms in accordance with specified procedures.

CAPT Smith has completed and signed a report on the "Fitness of Officers" form for each of the three commanders who are assigned to his command. These fitness reports are immediately mailed to the Chief of Naval Personnel in Washington, D.C., where they are filed with the individual records of the officers and where they can be reviewed by detail officers, selection boards, etc., as necessary.

Which statement is correct concerning performance evaluations?

a. They become a part of individual personnel records.

b. They are available for use in connection with possible personnel actions.

c. Both of the above

d. None of the above

3 The purposes of performance evaluations are to provide information for selection for promotion, duty assignments, and education programs.

Which example illustrates this purpose of performance evaluations?

a. A board has been convened by the Chief of Naval Personnel to review the applications and to select personnel for the Navy Enlisted Scientific Education Program. In addition to the applications, the board also reviews the enlisted service records, including performance evaluations of each candidate.

b. VADM Rich's aide has been severely injured in an accident and will be hospitalized for an indefinite period, so a replacement is required. Three lieutenants are available, and personnel in the Bureau of Naval Personnel review the fitness report files of each to select the one who will be assigned to the admiral.

c. Both of the above

d. None of the above

---

4 Which correctly states the purpose of performance evaluation?

a. Selection for promotion and duty assignments

b. Granting of security clearances

5 Which correctly states the concept of performance evaluation?

a. Performance evaluation is an appraisal of one's attitudes, personality, and cleanliness.

b. Performance evaluation is a systematic appraisal of personnel by their supervisors or others who are familiar with their work performance.

---

6 Formal appraisals (evaluations) are used to reduce favoritism and snap judgments in personnel decisions.

Which example illustrates this?

a. A board has been convened by the Chief of Naval Personnel to select captains from a designated year group for deep draft command. Only 25 percent of those eligible are to be selected. To choose the best qualified, the board must review the service record of each, including the fitness report file.

b. The comptroller's secretary has resigned, and several individuals from various departments in the command have applied for the GS-6 position. After personally interviewing each applicant, the comptroller reviews each individual's personnel file prior to making his selection.

c. Both of the above

d. None of the above

7 DP1 Jones and DP2 White are programers in the computer center of the command. DP1 Jones has been employed there for six years and has received one outstanding performance rating during that time. DP2 White has been a programer for only two years. Each is being considered for the recently vacated position of assistant supervisor of the section. A check of the daily output of each of the applicants reveals that DP2 White's output has averaged 20 percent greater than DP1 Jones' output and with a much lower error rate. Accordingly, the promotion is given to DP2 White.

Which is correct concerning formal appraisals?

a. Objective (quantitative) records (output, quality, etc.) which might be available usually support first judgments.

b. Objective (quantitative) records are more reliable than subjective (qualitative) appraisals when work output is considered.

---

8 Which correctly states the purpose of formal appraisals?

a. They allow the subordinate to recognize that his superior is looking out for his welfare.

b. They are used to reduce favoritism and snap judgments in personnel decisions.

9 The naval officer corps, enlisted personnel, and civilian employees are all part of an organizational structure which forms a pyramid. Since "all cannot reach the top," what can you infer?

a. Some systematic and just evaluation method is required.

b. A new organizational structure should be developed so that personnel can receive lateral promotions.

---

10 Other than selection for promotion of those best fit for assuming increased responsibility, evaluations are important to the Navy because they provide the basis for future personnel actions such as duty assignment, elimination of unfit personnel, and determination of the need for correction of individual difficulties.

CDR Walker in the Bureau of Naval Personnel has been given an urgent requirement for a lieutenant commander who is knowledgeable in nuclear weapons. From the lieutenant commander detail desk he obtains the names of three officers who are immediately available. Since he is not personally familiar with any of the three officers, CDR Walker reviews the complete record of each to determine experience and actual performance in previous assignments. He then nominates for the job the officer who in his estimation is the best man for that particular assignment.

In this case, for what personnel action were evaluations used?

a. Duty assignment

b. Selection for promotion of the individual best fit for assuming increased responsibility

11 LTJG Scott received two consecutive unsatisfactory fitness reports from two different commanding officers. Each report reflected unfavorably on his ability to carry out assigned duties. Upon receipt of the second fitness report, the Bureau of Naval Personnel considered LTJG Scott for refresher training and recommended that if he failed, he was to be processed normally for release from active duty.

In which area do evaluations provide the basis for future action?

a. Determination of the need for correction of individual deficiencies

b. Elimination of unfit personnel

c. Both of the above

d. None of the above

---

12 Another reason why evaluations are important to the Navy is that favorable evaluations provide the incentive and recognition that should help to retain personnel in the service.

What can also be inferred?

a. Unfavorable evaluations may tend to eliminate the poor performer and encourage the marginal to greater effort.

b. Unfavorable evaluations seldom occur because the receiver's performance only becomes worse with knowledge of them.

c. Both of the above

d. None of the above

13 Which correctly states a reason why evaluations are important to the Navy?

a. Evaluations serve as a measure of success in recruitment, selection, training programs, and placement to determine the need for correction of individual deficiencies.

b. Evaluations provide the basis for future personnel action such as selection for promotion of those best fit for assuming increased responsibility, selection for duty assignments, or for the elimination of unfit personnel.

---

14 Performance is what a man does, i.e., his actual behavior or output.

Which example illustrates this term?

a. SN Smith is a chronic loafer on the job and requires constant supervision to accomplish his assigned duties.

b. DM1 Charles works diligently to complete assigned tasks, and his neat and accurate drawings are always ready before deadlines.

c. Both of the above

d. None of the above

15 Another term related to evaluation is ability, which is what a man is capable of doing. Although performance may be the only way of measuring ability, it connotes what a man can do now.

Which is an example of this?

a. A track star whose sprained ankle prevents him from performing according to his ability.

b. A naval aviator undergoing refresher instrument flight training in a link trainer.

---

16 Read the following examples.

1) A naval aviator completed 50 straight carrier landings without a wave-off.

2) After each catapult launch has been completed, Airman Jones drags all the launching bridles back to the launch area, inspects them, and readies them for the next launch. Launches are never delayed due to unprepared bridles.

Which is correct?

a. Example 1) is of performance.
Example 2) is of ability.

b. Example 1) is of ability.
Example 2) is of performance.

17 The term "aptitude" is defined as a man's future or potential abilities and performance. This term is usually applied before an individual receives training.

Which example illustrates aptitude?

a. FN Brown works in damage control and has taken the exam for DC3.

b. John Paul has just enlisted in the Navy. His general classification test and arithmetic scores show he should be sent to electronics school.

---

18 LTJG Harrison requalified for day carrier landings with six landings. During night requalifications he was waved off on his first three approaches, but was then able to make the required number of landings.

Which term is illustrated by this example?

a. Performance

b. Ability

c. Aptitude

d. None of the above

---

19 Another term related to evaluation is achievement.

Which statement correctly defines achievement?

a. What a man is capable of doing in an emergency

b. A man's past performance or evaluated performance

20 Match the following terms to their appropriate definitions.

1) Performance	a. A man's future or potential abilities and performance
2) Ability	b. What a man does--his actual behavior or output
3) Aptitude	c. What a man is capable of doing
4) Achievement	d. A man's past performance or evaluated performance
	e. A man's performance after a poor performance evaluation

Which correctly matches the terms to their definitions?

a. 1-e, 2-c, 3-d, 4-b

b. 1-b, 2-d, 3-a, 4-e

c. 1-b, 2-c, 3-a, 4-d

d. 1-c, 2-a, 3-b, 4-d

---

21 Why are formal appraisals made?

a. They are used to reduce favoritism and snap judgments in personnel decisions.

b. They serve as a substitute for objective records which might be available.

22 Which statement correctly defines the concept of performance evaluation?

a. Performance evaluation is a nonsystematic appraisal of personnel by their supervisors.

b. Performance evaluations do not become part of the personnel records but are available for use in connection with personnel actions.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 1. Now, go to the next page and take the Quiz.

Summary Post-Quiz 1

Introduction to Evaluation

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes the importance of evaluations to the Navy?

   a. Evaluations serve as a subjective source of information for use in connection with possible personnel actions.

   b. The Navy is an organizational structure which forms a pyramid. Since all cannot reach the top, a just and systematic evaluation method is required.

   c. Evaluations provide incentive and recognition for good performers and may tend to eliminate poor performers in the Navy.

   d. They are correct statements which evaluate the importance of the Navy and therefore should be used by all personnel for indoctrination.

---

2. Which phrase correctly defines the term "ability"?

   a. Future or potential performance

   b. Evaluated performance

   c. Actual behavior or output

   d. What a man is capable of doing

3. Which phrase correctly describes the purpose of formal appraisals?

a. To help a superior in discussions with subordinates about their performance

b. As a substitute for objective (quantitative) records

c. To reduce favoritism and snap judgments in personnel decisions

d. As defensible reasons for recommendations a superior may make concerning a subordinate

---

Now, check your answers on page 22.

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ANSWERS TO SUMMARY POST-QUIZ 1

1. b
2. d
3. c

Now, go to Summary 2 on the next page.

Summary 2

Characteristics of Evaluation

Characteristics

Validity is the degree of accuracy of evaluations of the subordinate; i. e. , how well evaluations actually measure what they are intended to measure.

Reliability concerns the consistency of the evaluations; i.e., reliable evaluation techniques will produce consistent results regardless of the time of evaluation or the particular evaluator.

Since evaluation reports are essentially subjective, the following types of human errors tend to appear:

1) Halo effect--the tendency to allow a single good trait to influence all other marks favorably, or vice versa for a bad trait.

2) Constant error--the tendency to give all subordinates high marks if the evaluator is lenient, or to give all subordinates low marks if the evaluator is "tough."

3) Generosity error--the tendency to rate subordinates high, making difficult the distinction between personnel at the top. This may stem from giving those rated "the benefit of the doubt."

The result of the three errors discussed above may shift the distribution of the performance evaluations toward the high end as in Figure 1 on the next page. The apparent mode may be well above the true performance.

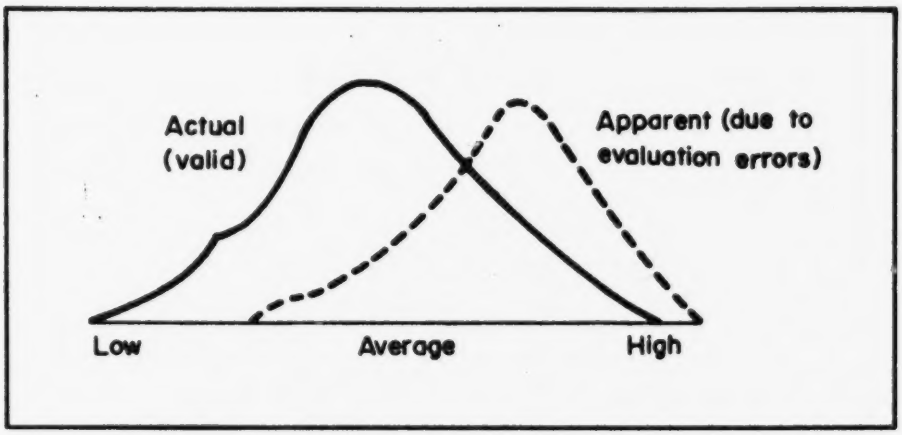

Figure 1. Distribution Curve of Evaluation

This is the end of Summary 2. Now, take Summary Pre-Quiz 2 on the next page.

Summary Pre-Quiz 2

Characteristics of Evaluation

Answer the following questions as indicated in your Student Guide.

---

1. Which phrase correctly defines the term "validity"?

   a. The degree to which evaluations are consistent in their results, regardless of the time or the particular evaluator

   b. The degree of accuracy of evaluations of the subordinate

   c. The degree to which evaluators give high marks to subordinates on evaluation reports

   d. The degree to which human errors occur in making evaluations

---

2. Which phrase correctly describes the halo effect?

   a. The tendency to allow a single good trait to influence all other marks favorably, or vice versa for a bad trait

   b. The tendency to rate subordinates high, making difficult the distinction among personnel at the top

   c. The tendency to give all subordinates high marks if the evaluator is lenient, or to give all subordinates low marks if the evaluator is "tough"

   d. None of the above

3. Which phrase correctly defines the term "reliability"?

   a. The degree of accuracy of evaluations of the subordinate

   b. The degree to which evaluations are essentially objective, rather than essentially subjective

   c. A measure of the degree of human error that is introduced by evaluators into their evaluation reports

   d. The degree of consistency of results of evaluations, regardless of the time of evaluation or the particular evaluator

---

Now, check your answers on page 28.

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ANSWERS TO SUMMARY PRE-QUIZ 2

1. b
2. a
3. d

If all your answers are correct, go on to Summary 3 on page 37.
If you missed one or more questions, go to the next page and go through Programed Sequence 2.

Programed Sequence 2

Characteristics of Evaluation

OVERVIEW: In this frame sequence, you will learn some of the characteristics of evaluation including the concepts of validity and reliability and the effects of human errors.

---

1 One of the characteristics of evaluation is the concept of validity, which is the degree of accuracy of evaluations of the subordinate.

What does validity refer to?

a. How well evaluations actually measure what they are intended to measure

b. How evaluations are used and who uses them

---

2 The concept of reliability refers to the consistency of evaluations.

What does this imply?

a. Evaluation techniques will be reliable only if consistently used by the same evaluators.

b. Reliable evaluation techniques will produce consistent results regardless of the time of evaluation or the particular evaluator.

3 Which statement correctly describes validity?

a. Validity refers to how well evaluations actually measure what they are intended to measure.

b. Validity refers to the consistency of the evaluation.

c. Both of the above

d. None of the above

---

4 Which statement is correct?

a. Reliable evaluation techniques will produce consistent results regardless of the time of evaluation or the particular evaluator.

b. Reliability refers to the consistency of the evaluations.

c. Both of the above

d. None of the above

---

5 Since evaluation reports are essentially subjective, human errors tend to appear. One of these is the halo effect.

> LCDR Caine, who is considered by his contemporaries to be somewhat below average in professional knowledge and ability, is very affable and has an outgoing personality. He is the social and golfing companion of the Commanding Officer, who rates him as one of his best officers.

Which correctly defines the halo effect?

a. The tendency to allow a single good trait to influence all other marks favorably, or vice versa for a bad trait

b. The tendency to believe that man is inherently good although he makes mistakes; therefore, he should be evaluated positively

6 Another error is called constant error. This is the tendency to give all subordinates high marks if the evaluator is lenient, or to give all subordinates low marks if the evaluator is "tough."

Which is an example of constant error?

a. The squadron commander has rated each of the 10 lieutenants in the squadron in the "high-excellent" category on their annual fitness reports.

b. The three ensigns on the destroyer escort each received the same marks on their August fitness reports as they received on their February fitness reports.

c. Both of the above

d. None of the above

---

7 The generosity error is the general tendency to rate subordinates high, making difficult the distinction between personnel at the top. This may stem from giving those being rated "the benefit of the doubt."

What is the difference between the halo effect and the generosity error?

a. The halo effect is caused by a lenient high evaluation, while the generosity error is a tendency to rate high all the time.

b. The halo effect is caused by allowing one single good trait to bias all other marks in a favorable manner, while the generosity error is a tendency to rate high all the time.

8 LCDR Bennett, when reviewing his fitness report file in the Bureau of Naval Personnel, was pleased to learn that his Commanding Officer has rated him in the outstanding category and as "one of the top few." However, he was chagrined when he noted that the other six lieutenant commanders in the command were similarly rated.

Which human error is illustrated by this example?

a. Halo effect

b. Generosity error

c. Evaluation error

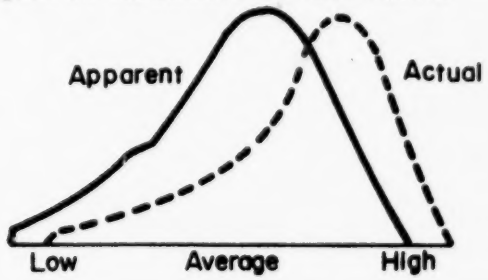
d. Irresponsibility error

---

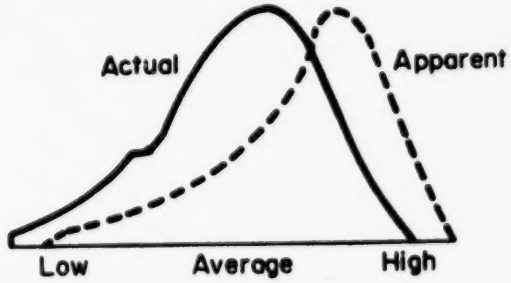
9 The result of the three human errors discussed may shift the distribution of evaluations toward the high end, i.e., statistically, the apparent mode of distribution may be well above the true mode.

Which figure is indicative of this shift?

a.



b.



10 Which correctly describes reliability?

a. Reliability refers to the consistency of evaluations.

b. Reliability refers to the degree of accuracy of evaluations of the subordinate's performance.

---

11 Which correctly describes the results of the three human errors of evaluations?

a. The distribution of the evaluations may be shifted toward the high end.

b. The apparent mode of the distribution may be well above the true mode.

c. Both of the above

d. None of the above

---

12 Which example is a more valid evaluation of the subordinate's performance?

a. LCDR Harris is a dedicated and intelligent naval officer who works diligently to get a job done. This was reflected in his investigation of a recent fatal aircraft accident, which he completed in a remarkably short period of time. He can be trusted to carry out any assignment, regardless of difficulty, in an exemplary manner. His personal appearance and moral character are of the highest order. LCDR Harris is qualified and strongly recommended for promotion.

b. LT Smith is a conscientious and capable naval officer who carries out all duties in a creditable manner. He is mature, intelligent, sincere, and loyal. His pleasant disposition and friendly personality make him quite effective in his contacts with others and an asset to morale. LT Smith is strongly recommended for promotion.

This is the end of Programed Sequence 2. Now, go to the next page and take the Quiz.

Summary Post-Quiz 2

Characteristics of Evaluation

Answer the following questions as indicated in your Student Guide.

---

1. Which phrase correctly defines the term "reliability"?

   a. The degree to which evaluations are essentially objective, rather than essentially subjective

   b. The degree of accuracy of evaluations of the subordinate

   c. The degree of consistency of results of evaluations, regardless of the time of evaluation or the particular evaluator

   d. A measure of the degree of human error that is introduced by evaluators into their evaluation reports

---

2. Which phrase correctly defines the term "validity"?

   a. The degree to which evaluations are consistent in their results, regardless of the time of evaluation or the particular evaluator

   b. The degree to which human errors occur in making evaluations

   c. The degree to which evaluators give high marks to subordinates on evaluation reports

   d. The degree of accuracy of evaluations of the subordinate

3. Which phrase correctly describes the halo effect?

   a. The tendency to give all subordinates high marks if the evaluator is lenient, or to give all subordinates low marks if the evaluator is "tough"

   b. The tendency to allow a single good trait to influence all other marks favorably, or vice versa for a bad trait

   c. The tendency to rate subordinates high, making difficult the distinction among personnel at the top

   d. None of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 2

1. c
2. d
3. b

Now, go to Summary 3 on the next page.

Summary 3

Advantages and Disadvantages of Evaluations

Advantages of Evaluations

Formal appraisals (e.g., officer fitness reports) have an advantage over informal judgments, because they require attention to specific points uniformly stated and thus minimize partiality or personal bias in the evaluator. Formalized evaluations also have the advantage that they help superiors analyze and review the performance of their subordinates. The value of evaluations is increased when they are the result of a careful review by several people who know the individual's work. Evaluation of an individual's leadership performance will, of course, vary from person to person, depending on the evaluator's position in the chain of command, duration of his working relationship with the evaluatee, and other conditions. In other words, there is no such thing as a truly objective evaluation, since an evaluation is only one individual's perception of another's performance. The responsibility for preparation and review of rough reports should therefore be assigned to all the appropriate people in an organization. In this way, a reasonably accurate evaluation can be made from various perceptions.

Management should have defensible reasons for departing from seniority as a criterion for promotions; i.e., when recommending a man with less seniority for promotion, the evaluator must be able to defend the recommendation. Formal appraisals can help him do this.

A supervisor may deceive himself by believing that day-to-

day contact with subordinates will make the subordinates aware of the merit of their performance. A leader is often shocked to hear a subordinate say, "I was unaware that my performance was poor." Formal evaluations help eliminate such misunderstandings and also help the superior prepare adequately for the discussions on performance which he should have periodically with each of his subordinates.

Disadvantages of Evaluations

Supervisors may be reluctant to take time and thought to prepare adequate appraisals, whereas overly detailed evaluation forms may prove too formidable or may overemphasize small details. Supervisors are more likely to complete a simpler form satisfactorily.

In the absence of standards of performance, evaluations are open to the criticism that they are too subjective. Therefore, desired standards should always be made clear to subordinates.

Periodic evaluations should not become a substitute for the continual "coaching" which should exist between superior and subordinate.

This is the end of Summary 3. Now, take Summary Pre-Quiz 3 on the next page.

Summary Pre-Quiz 3

Advantages and Disadvantages of Evaluations

Answer the following questions as indicated in your Student Guide.

---

1. Which correctly states an advantage of evaluations?

   a. Evaluations assure subordinates who have seniority that they will be promoted before a peer with less seniority.

   b. Evaluations help superiors analyze and review the performance of their subordinates.

   c. Evaluations take the place of counseling subordinates about their performance.

   d. Evaluations are essentially objective, rather than essentially subjective.

---

2. Which correctly states a disadvantage of evaluations?

   a. Evaluations may become a substitute for the constant "coaching" which should exist between superior and subordinate.

   b. In the absence of standards of performance, evaluations are criticized for being too subjective.

   c. Overly detailed evaluation forms may prove too formidable and may overemphasize small details.

   d. All of the above

3. Which statement correctly describes how the value of evaluations is increased?

a. The value of evaluations is increased when they are the result of a careful review by several people who know the individual's work.

b. The value of evaluations is increased when they can provide defensible reasons for departing from seniority as a criterion for promotions.

c. The value of evaluations is increased by periodic discussion with subordinates about their performance.

d. The value of evaluation is increased when standards of performance exist.

Now, check your answers on page 42.

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ANSWERS TO SUMMARY PRE-QUIZ 3

1. b
2. d
3. a

If all your answers are correct, go on to Summary 4 on page 53. If you missed one or more questions, go to the next page and go through Programed Sequence 3.

Programed Sequence 3

Advantages and Disadvantages of Evaluations

OVERVIEW: In this frame sequence, you will learn some of the advantages and disadvantages of evaluations.

---

1 Some method of formal appraisal (e.g., officer fitness reports) is required. Such reports require attention to specific points uniformly stated and thus minimize partiality or personal bias in the evaluator.

What can then be inferred as an advantage of formal appraisals?

a. The constant error will be maximized.

b. They help supervisors carefully analyze and review the performance of their subordinates.

---

2 Evaluations are particularly valuable when they are the result of careful review by several people who know the individual's work.

What is one way to increase the value of evaluations?

a. To assign the responsibility for preparation and review of "rough" reports to all the appropriate people

b. To assign the careful review of "rough" reports to the most appropriate person in your organization

c. Both of the above

d. None of the above

3 Which is an advantage of evaluations?

a. Superiors are forced to analyze and review the performance of their subordinates.

b. Formal appraisals require attention to specific points uniformly stated and thus minimize partiality or personal bias in the evaluator.

c. Both of the above

d. None of the above

---

4 Which correctly describes a way to increase the value of evaluations?

a. Analyze and carefully prepare and review all evaluation reports yourself.

b. Assign the responsibility for preparation and review of "rough" reports to all the appropriate people in your organization.

5 When seniority is a criterion for promotions, superiors should have defensible reasons for departing from seniority.

LT Fuller is faced with the problem of recommending one man for a promotion. He has two men who have met all the necessary requirements, but he must choose only one. Their respective qualifications are listed below.

Personnel Data	Scott	Dinkel
Age	22	30
Years of Experience	2	8
Intelligence	High	Average
Education	2 years of college	1 year of college
Performance Evaluation (average)	3.6	3.2

Based on the information presented, which man should LT Fuller select for promotion?

a. Scott

b. Dinkel

---

6 Which statement correctly describes the situation upon which LT Fuller made his selection in the previous frame?

a. The rationale for departing from seniority is that Scott's intelligence and education are of higher quality than Dinkel's and current performance and aptitude rate high in recommendations for promotion.

b. Defensible reasons do not exist for departing from seniority. Scott's areas of higher quality do not outweigh Dinkel's years of Navy experience.

7 A leader is often shocked to hear a subordinate say, "I was unaware that my performance was poor." This often occurs because leaders may deceive themselves by believing that day-to-day contact with subordinates makes the subordinates aware of the merit of their performance.

What can be inferred from this?

a. Informal appraisals work when something other than performance is being judged.

b. Formal appraisals help to eliminate such misunderstandings.

---

8 A new department head is concerned about a young officer who appears to have a casual attitude toward the Navy and the concept of dedication to service usually found in a naval officer. The young officer's annual fitness report is prepared for the new department head to review.

Which states an advantage of evaluations?

a. Evaluations help superiors prepare adequately for discussions on performance which they should have with each of their subordinates periodically.

b. Evaluations already on file will help senior officers write fitness reports on officers they don't know.

---

9 Which correctly states an advantage of evaluations?

a. Evaluations take the place of the discussions which superiors should have with each of their subordinates periodically.

b. Formalized evaluations help superiors to analyze and review the performance of their men.

10 There are also disadvantages of evaluations.

> A department head receives a variety of "rough" reports, some very specific in detailing the accomplishments and areas requiring improvement in a young officer. Others are only brief, general statements. One even says: "A good lad."

Which states a disadvantage of evaluations?

a. A department head usually ends up writing the evaluations due to nonstandardized rough reports.

b. A reluctance may exist on the part of supervisors to take time and thought in the preparation of adequate appraisals.

---

11 Overly detailed evaluation forms may prove too formidable and may overemphasize small details. An attempt should be made to use simpler forms whenever possible.

What can be inferred from this?

a. Small details will be emphasized on the simpler form.

b. Supervisors will probably take adequate time and thought to satisfactorily complete the simpler forms.

---

12 In the absence of expected standards of performance, what can be inferred?

a. Evaluations are criticized for being too subjective.

b. A variety of evaluation types will be received, some requiring change.

c. Both of the above

d. None of the above

13 Which correctly states a disadvantage of evaluations?

a. There may exist a reluctance on the part of supervisors to take time and thought to prepare adequate appraisals.

b. Overly detailed forms may prove too formidable and may overemphasize small details.

c. Both of the above

d. None of the above

---

14 Periodic evaluations should not become a substitute for the constant "coaching" which should exist between senior and subordinate.

Which example illustrates this problem?

a. On a small ship, one of the OOD's is a senior ensign and his JOOW is a junior ensign. Since they are of the same rank and are close in seniority, and since these two officers are thrown together during social functions, the senior ensign doesn't point out to his junior problems that the latter creates when he does not properly prepare the deck log; e.g., the junior goes off watch without having completed and double-checked his entries. The senior ensign cannot bring himself to be firm with the junior, so the junior believes that he is performing his duties in an acceptable fashion. In an interview with the Executive Officer, the junior ensign is taken aback when he discovers that his performance as a watchstander has been adversely reflected in his annual fitness report.

b. The Executive Officer says to one of the other JOOWs: "I am really pleased. Since we talked about the Captain's desire to make the ship smart on honors and ceremonies, you have rehearsed the performances often. When you're the OOD I know that the bridge and quarterdeck watches will render honors properly."

15 Which is an advantage of evaluations?

a. Evaluations help superiors prepare adequately for the discussions on performance which they should have with each of their subordinates periodically.

b. Evaluations can substitute for the constant "coaching" which goes on between superior and subordinate.

---

16 Which correctly describes a way to increase the value of evaluations?

a. Assign the careful review of your "rough" reports to an appropriate person.

b. Assign the responsibility for preparation and review of "rough" reports to the appropriate people.

---

17 Which correctly states a disadvantage of evaluations?

a. If expected standards of performance are absent, evaluations are criticized for being too subjective.

b. Periodic evaluations may become a substitute for the constant "coaching" which should exist between superior and subordinate.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 3. Now, go to the next page and take the Quiz.

Summary Post-Quiz 3

Advantages and Disadvantages of Evaluations

Answer the following questions as indicated in your Student Guide.

---

1. Which correctly states an advantage of evaluations?

   a. Evaluations help superiors analyze and review the performance of their subordinates

   b. Evaluations are essentially objective, rather than essentially subjective.

   c. Evaluations take the place of counseling subordinates about their performance.

   d. Evaluations assure subordinates who have seniority that they will be promoted before a peer with less seniority.

---

2. Which statement correctly describes how the value of evaluations is increased?

   a. The value of evaluations is increased when standards of performance exist.

   b. The value of evaluations is increased when they can provide defensible reasons for departing from seniority as a criterion for promotions.

   c. The value of evaluations is increased when they are the result of a careful review by several people who know the individual's work.

   d. The value of evaluations is increased by periodic discussion with subordinates about their performance.

3. Which correctly states a disadvantage of evaluations?

   a. Evaluations may become a substitute for the constant "coaching" which should exist between superior and subordinate.

   b. In the absence of standards of performance, evaluations are criticized for being too subjective.

   c. Overly detailed evaluation forms may prove too formidable and may overemphasize small details.

   d. All of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 3

1. a
2. c
3. d

Now, go to Summary 4 on the next page.

Summary 4

Discussion of Evaluation Reports With Personnel and Alternatives to Current Methods

Purposes and Procedure

Each man has a right to know how his work performance is rated and where he stands in the organization. Discussions provide an opportunity for a senior and subordinate to review the possible causes of evaluations which are lower than the subordinate has anticipated, particularly if the conditions have not been discussed previously. Such discussions are also used to acknowledge good performance or to warn subordinates of poor performance and to point out how and where they can improve.

Face-to-face talks can be the most difficult part of a leader's job and thus may often be avoided by him. A supervisor may be willing to do the paperwork but fail in his duty of telling a subordinate how he stands or what he needs to do to improve himself.

The best procedure for discussions is to begin with the subordinate's strong points and continue into those areas needing improvement. A superior who learns to be a good listener may also benefit from the discussion.

Techniques

There are three techniques used in the discussion of evaluation reports with personnel. One of these is the tell and sell technique. This technique works well with insecure and inexperienced personnel, but there is a risk of stifling upward communication.

The tell and listen technique takes a subordinate's feelings into consideration but does not usually provide a constructive solution.

Through the problem-solving technique, a constructive problem-solving approach is developed in the subordinate and a mutual interest is established between superior and subordinate. The result is management by mutually established objectives. This approach is well expressed in the following quote by Douglas McGregor:

> "Effective development of managers does not include coercing them (no matter how benevolently) into acceptance of the goals of the enterprise, nor does it mean manipulating their behavior to suit organizational needs. Rather, it calls for creating a relationship within which a man can take responsibility for developing his own potentials, plan for himself, and learn from putting his plans into action. In the process he can gain a genuine sense of satisfaction, for he is utilizing his own capabilities to achieve simultaneously both his objectives and those of the organization. Unless this is the nature of the relationship, development becomes a euphemism."

Alternatives to Present Evaluation Methods

There are two alternatives to present evaluation methods, both nonsystematic appraisals. One is informal judgment, which may be easier than other methods, but which can be affected by human frailties and does not present a consistent base for evaluation.

The second alternative uses seniority as the sole criterion. This method has obvious disadvantages for management because there is no assurance that the organization is using its full performance potential.

In conclusion, no adequate alternative to a systematic and uniform method of evaluation exists if management is to avoid charges of discrimination or arbitrary action. In the absence of a better system of evaluation, the present methods must be continued. The present system offers the advantage of multiple perceptions of one individual's performance. From these multiple perceptions the discerning leader can generally gain a fair picture of the evaluatee's capabilities.

This is the end of Summary 4. Now, go to the next page and take the Quiz.

Summary Pre-Quiz 4

Discussion of Evaluation Reports with Personnel and Alternatives to Current Methods

Answer the following questions as indicated in your Student Guide.

---

1. Which correctly states a purpose for discussing evaluation reports with personnel?

   a. Discussion is used as a substitute for counseling and the constant "coaching" which should exist between senior and subordinate.

   b. Discussion is used to ensure subordinates' confidence that their superiors are interested in them and are concerned about their welfare.

   c. Discussion is used to acknowledge good performance or to warn subordinates of poor performance and to point out how and where they can improve.

   d. All of the above

---

2. Which statement correctly describes the discussion technique of "problem solving"?

   a. There is a risk of stifling upward communication.

   b. Subordinates' feelings are taken into consideration.

   c. The technique works well with insecure and inexperienced personnel.

   d. A mutual interest is established between superior and subordinate.

3. Which statement correctly describes the best procedure to follow when holding an evaluation discussion?

a. Begin with the strong points and then continue with the areas needing improvement.

b. Begin with the areas needing improvement and then continue with the strong points.

c. Begin with a general discussion in order to make the subordinate as comfortable and as at ease as possible.

d. None of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 4

1. c
2. d
3. a

If all your answers are correct, you have completed this segment. If you missed one or more questions, go to the next page and go through Programed Sequence 4.

Programed Sequence 4

Discussion of Evaluation Reports with Personnel and Alternatives to Current Methods

OVERVIEW: In this frame sequence you will learn the purposes and procedures of discussion and techniques of discussion of evaluation reports with personnel. You will also learn some alternatives to present evaluation methods.

---

1 The concept underlying discussion of evaluation reports of personnel is each man's right to know how he is doing at work and where he stands in the organization (feedback).

Discussions have two purposes:

1) Recognition of good performance

2) Counseling of subordinates who need to do better

An Executive Officer discusses an annual fitness report with one of the division officers of the Engineering Department. He tells the officer that his performance is satisfactory, but there is a need for improvement. Specifically, he suggests that greater attention to machinery history cards, check lists, repair lists, and follow-through would result in an improved rating in subsequent reports.

In this example what is the Executive Officer doing?

a. Telling his subordinate he ought to do better and pointing out how and where he can improve

b. Reviewing the possible causes of lower than anticipated ratings

c. Both of the above

d. None of the above

2 Another purpose for discussion is to acknowledge good performance.

Which is an example of this?

a. An Executive Officer discusses an annual fitness report with one of the division officers of the Engineering Department. He tells this officer that his performance compares favorably with that of the other officers in the department.

b. An Executive Officer discusses an annual fitness report with an officer. He says, "I've seen very few OOD's who can conn a ship like this as well as you. I want you to know that your performance has been reflected in this report."

---

3 Supervisors may be willing to do the paperwork, but feel badly at having to tell another man how he stands or what he needs to do to improve himself.

What can you infer?

a. Face-to-face talks can be the most difficult part of a leader's job, and he may avoid them.

b. Face-to-face talks should not be conducted by anyone other than counselors.

c. Both of the above

d. None of the above

---

4 Which correctly states a purpose of discussion?

a. To warn some personnel that they must do better

b. To acknowledge good performance

c. Both of the above

d. None of the above

5 Which is correct concerning face-to-face discussions?

a. They are one of the easier parts of a leader's job. Talking to his men is certainly nothing unusual.

b. They can be the most difficult part of a leader's job, and he can fail badly at them if he is not careful.

---

6 The following example illustrates a procedure for discussion of evaluation reports with personnel.

A department head initiated his discussion of a junior's fitness report by commenting on the importance of the report system and the fact that it merits attention despite the paperwork. He and the junior officer then exchanged views on how much of an officer's time is expended on reports and similar matters. The senior pointed out that one of his own concerns is that administrative matters keep him from spending as much time with the men as he would like.

He added, "I've noticed, in fact, that you seem to enjoy working with your men. It shows in the fact that you are aware of what's going on in the division. I've been so impressed with that point that it's reflected in your fitness report."

The division officer thanked his superior, then remarked that one of his problems is the frequent conflict between the second and first class POs. "Occasionally I've had to step in and reprimand them," he admitted.

The department head expressed surprise to hear of the problem and added, "You shouldn't have to be so harsh with POs. They must learn to take responsibility too. It doesn't help to reprimand them in front of others either."

"Yes, I know. You're talking about that incident in the auxiliary pump room. I shouldn't have been so harsh with the second class."

"It's not that so much. It would have been better to wait until you were alone with him, or could have taken him aside. He may have had the reprimand coming, but not in front of the other men."

"Well, I got excited," said the junior.

"You'll have to watch that. That can hurt you in or out of the Navy."

"Yes....I know."

"Well, that's past and forgotten. Don't dwell on it. I'm glad you told me about the problems between those two petty officers. Keep in mind some way we can break them up. Maybe I can put the first class into B Division. I'll check on it."

The department head then closed the interview.

Which correctly describes a procedure for discussion?

a. A superior who learns to be a good listener may benefit from the discussion.

b. A superior should begin with the strong points and then continue with the areas needing improvement.

c. Both of the above

d. None of the above

7 One of the techniques of discussion is tell-and-sell. (Sell your subordinates on the idea after you've told them what it is.)

> The Executive Officer of a DE used for Reserve cruises calls a meeting of his department heads to discuss a forthcoming material inspection. He feels that damage control is a weak area due to the many reservists on board. He shows the officers the last DC report and points out the prevalence of unsatisfactory fittings. He states that the only acceptable way he can see to prepare the ship for the inspection is for each officer to assume the responsibility for getting the reservists to upgrade the fittings in their areas of the ship. During the meeting, the fact that the work load exceeds the capacity of the damage controlmen becomes apparent. The meeting breaks up with all agreeing with the Executive Officer's suggestion about the distribution of the responsibility.

Which is true of tell-and-sell?

a. Good with insecure and inexperienced personnel

b. Risk of stifling upward communication

c. Both of the above

d. None of the above

8 Another technique is tell-and-listen. This technique takes subordinates' feelings into consideration, but usually does not develop a constructive solution.

Which is an example of tell-and-listen?

a. The Executive Officer of a destroyer calls the Chief Engineer to his stateroom to tell him that the annual material inspection has been scheduled. He points out, and the Chief Engineer acknowledges, that damage control is a weak area and that there are an unusually large number of fittings that need attention. The Chief Engineer explains that there has been both a manpower and a supply problem, but that both have now been remedied. The meeting concludes as the Chief Engineer says, "I'll get Hurlbutt on it right away!"

b. The JOOW calls the boatswain's mate of the watch and tells him to get a working party to bring the stores on board. The boatswains mate says that the stores are mostly for the Engineering Department. The JOOW listens and then says, "Like I told you--get some seamen and get those stores aboard."

---

9 Which is true of the tell-and-sell technique?

a. Risk of stifling upward communication

b. Usually no constructive solution

10 The problem-solving technique develops a constructive problem-solving approach in subordinates and establishes a mutual interest between superior and subordinate. This results in management by mutually established objectives.

Which is an example of the problem-solving technique?

a. The Executive Officer of a destroyer escort calls a meeting of his department heads to discuss a forthcoming material inspection. He feels that damage control is a weak area and opens the meeting with a statement to this effect. After giving a few examples of fittings that require repair, he asks if anyone has any suggestions. At first, not much is said. The Chief Engineer is confused and resentful. He cannot understand the reason for a meeting of all department heads to discuss his problem. One or two of the more vocal department heads are happy to mention other fittings that require repair. The Chief Engineer finally says, "I'll check into it," and the discussion turns to other topics related to the inspection.

b. The Executive Officer of a destroyer escort calls the Chief Engineer to his stateroom to tell him that the annual material inspection has been scheduled and states that the ship's damage control readiness will receive particular attention. The Chief Engineer acknowledges the problem but points out that for a number of years that area has not received the attention necessary to maintain any real damage control readiness. Therefore, the problem of preparing for the inspection is greater than the capacity of the Engineering Department. The Executive Officer says that he realizes this and asks what steps can be taken to bolster the department. After some discussion, they agree to call a meeting of the other department heads to see if the other departments can lend a hand. The Executive Officer says in closing, "Let's go into this meeting knowing what is needed and get up some kind of a work list to show how big the job is. They'll really have to be convinced if they are going to 'turn to' for somebody else." The meeting concludes as the Chief Engineer says, "Aye, aye, sir, I'll get Hurlbutt on the list right away!"

11 Which correctly describes a procedure for discussion of evaluation reports with personnel?

a. Begin with the areas needing improvement and then continue with the strong points.

b. Begin with the strong points and then continue with the areas needing improvement.

c. Both of the above

d. None of the above

---

12 Which is true of the problem-solving technique?

a. Establishes a mutual interest between superior and subordinate

b. Is good with insecure and inexperienced personnel

c. Both of the above

d. None of the above

---

13 Which correctly states a purpose for discussion?

a. To give superior and subordinate a chance to get to know each other better

b. To let subordinates know that their superiors are interested in them and their welfare

c. Both of the above

d. None of the above

14 Read the following quote by Douglas McGregor.

> "Effective development of managers does not include coercing them (no matter how benevolently) into acceptance of the goals of the enterprise, nor does it mean manipulating their behavior to suit organizational needs. Rather, it calls for creating a relationship within which a man can take responsibility for developing his own potentials, plan for himself, and learn from putting his plans into action. In the process he can gain a genuine sense of satisfaction for he is utilizing his own capabilities to achieve simultaneously both his objectives and those of the organization. Unless this is the nature of the relationship, development becomes a euphemism."

Which technique of discussion is described in this quote?

a. Tell-and-sell

b. Tell-and-listen

c. Problem-solving

d. None of the above

---

15 There are two alternatives to present evaluation methods; both are nonsystematic appraisals. One of these is informal judgment. This method may be easier than others, but it allows human frailties to enter the picture.

What is another argument against this method?

a. The method of informal judgment does not present a consistent basis for evaluation.

b. The method of informal judgment is as reliable as most other methods.

16 The other nonsystematic alternative uses seniority as the sole criterion. This method has obvious disadvantages for management.

What is one of the disadvantages of this method?

a. Those with less seniority will leave the Navy because they will never get promoted, selected, etc.

b. There is less assurance that the organization is maximizing its performance potential.

---

17 Presently, no adequate alternative to a systematic and uniform method of evaluation exists if the organization wants to avoid charges of discrimination or arbitrary action.

What can you conclude?

a. In the absence of the development of a better system of evaluation, the present approaches are the best.

b. The organization should ignore charges of discrimination or arbitrary action and use whatever method of evaluation seems appropriate.

---

18 Which statement is true concerning the alternatives to present evaluation methods?

a. They are nonsystematic appraisals.

b. They are based upon informal judgment or seniority.

c. Both of the above

d. None of the above

19 Which correctly describes the present situation involving current methods and alternative methods of evaluation?

a. Since the alternative methods of evaluation are no better than the present methods, it does not matter which methods are used.

b. Since an optimum system of evaluation has not been developed, the present approaches are the best.

c. Both of the above

d. None of the above

20 A midshipman 1/c company commander called in MIDN 2/c Haynes to appoint him manager of the battalion intramural lacrosse team. He explained his choice of Haynes on the basis of his personality, general athletic background, demonstrated leadership within the company and his overall enthusiasm and drive.

Match the following examples to the appropriate techniques.

1) The Company Commander then said, "I've decided, Haynes, that you're definitely our best man for the job. What do you think of the idea?" Haynes answered that his one objection was he felt he needed extra academic instruction in the afternoons. The Company Commander then ended the meeting by saying, "Well, I'm sure you're capable of handling that problem, and you will make a good team manager."

2) The Company Commander ended by saying, "Haynes, I feel that you're definitely our best man for the job. If you have any objections, let's discuss them." Haynes then told him that he was reluctant to accept because he felt he needed his afternoons for extra academic instruction this spring. "I see," answered the Company Commander. "That certainly is a legitimate reason. We do need someone competent, however. Could you suggest another man for the job?" Haynes then

a. Tell-and-sell
b. Tell-and-listen
c. Problem-solving

suggested MIDN 2/c Miller, pointing out that his special interest is lacrosse. He was previously unavailable due to football commitments, but would be available this spring, he added. The Company Commander agreed that MIDN 2/c Miller would be a good choice, thanked Haynes, and closed the meeting.

3) The Company Commander then concluded the meeting with the words, "I've decided, Haynes, that you're definitely our best man for the job! We're looking forward to a great season."

a. 1-b, 2-c, 3-a

b. 1-b, 2-a, 3-c

c. 1-a, 2-b, 3-c

This is the end of Programed Sequence 4. Now, go to the next page and take the Quiz.

Summary Post-Quiz 4

Discussion of Evaluation Reports with Personnel and Alternatives to Current Methods

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes the discussion technique known as "problem solving"?

   a. Subordinates' feelings are taken into consideration.

   b. A mutual interest is established between superior and subordinate.

   c. There is a risk of stifling upward communication.

   d. The technique works well with insecure and inexperienced personnel.

---

2. Which correctly states a purpose for discussing evaluation reports with personnel?

   a. Discussion is used to acknowledge good performance or to warn subordinates of poor performance and to point out how and where they can improve.

   b. Discussion is used to ensure subordinates that their superiors are interested in them and are concerned with their welfare.

   c. Discussion is used as a substitute for counseling and the constant "coaching" which should occur between senior and subordinate.

   d. All of the above

3. Which statement correctly describes the best procedure to follow when holding an evaluation discussion?

a. Begin with the areas needing improvement and then continue with the strong points.

b. Begin with the strong points and then continue with the areas needing improvement.

c. Begin with a general discussion in order to make the subordinate as comfortable and at ease as possible.

d. None of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 4

1. b
2. a
3. b

This is the end of Part Eleven, Segment I.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segment I

The Role of Evaluation

Progress Check

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

THE ROLE OF EVALUATION

PROGRESS CHECK

Question 1.

Select the statement which correctly describes the concept of evaluation.

a. Evaluation is a systematic, unrecorded appraisal of personnel by their supervisors or others who are familiar with their performance.

b. Evaluation is a systematic appraisal of personnel by their supervisor, which is recorded on a form and follows the individual through two changes of assignment.

c. Evaluation is a systematic appraisal of personnel by their supervisors, or others familiar with their work which is recorded on a prescribed form and becomes part of the individual's personnel record.

d. Evaluation is a systematic appraisal of personnel by no fewer than three senior officers who record the appraisal permanently in the unit and individual's file.

Question 2.

Select the statement(s) which describe(s) the importance of evaluations to the Navy.

a. Evaluations are important to the Navy because they provide incentive and recognition that should help retain deserving personnel in the service, while unfavorable evaluations may tend to eliminate the poor performers and encourage the marginal to greater effort. They also provide the basis for future personnel action.

b. Evaluations are important to the Navy because they are its only completely objective system of judging performance.

c. Evaluations are important to the Navy because they eliminate the need to judge an individual on the basis of his performance.

d. All of the above.

Question 3.

From the following examples of performance evaluations below, select the one in which the evaluation is truly indicative of the subordinate's performance.

a. LT Libby evaluated CPO Poch's performance. In his evaluation he stressed Poch's aggressive response to orders, and his strict adherence to detail. So as to maximize his intent, LT Libby mentioned only a few of CPO Poch's errors.

b. LT George evaluated PO Koehler's performance. The other men in the department had received favorable reports and PO Koehler had certainly been no worse. LT George emphasized the important role PO Koehler had performed in administering the routine of the typing pool.

c. LT Moon evaluated CPO Walker's performance. LT Moon recorded all of CPO Walker's exceptional abilities, and his gross errors. LT Moon had not marked anyone else as highly as Walker, but he also omitted mention of some of their shortcomings.

d. None of the above

Question 4.

Select the sequence of terms which correctly identifies the following tendencies in performance evaluations.

1) The tendency to give all subordinates high marks if you are lenient, or to give all subordinates low marks if you are tough

2) The general tendency to rate "high" making it difficult to distinguish among personnel at the top

3) The tendency to allow a single good trait to influence all other marks favorably, or vice versa for a bad trait

a. 1) Halo effect, 2) constant error
3) generosity error

b. 1) Constant error, 2) halo effect
3) generosity error

c. 1) Constant error, 2) generosity error
3) halo effect

d. 1) Halo effect, 2) generosity error
3) constant error

Question 5.

Select the statement which correctly describes an advantage of performance evaluations.

a. Evaluations provide an opportunity for supervisors to meet their subordinates.

b. Evaluations are no substitute for the supervisor's thoroughly reviewing the general comments he may accumulate while working with his subordinates on a day-to-day basis.

c. Evaluation greatly improves group solidarity and morale, because each man feels he is receiving personal attention from management.

d. Evaluations may provide the basis and justification for departing from seniority when considering a subordinate for promotion.

Question 6.

Select the statement which correctly describes the limitations or disadvantages of evaluation.

a Supervisors often spend too much time involved with evaluations and ignore their other duties.

b. Too often, periodic evaluations become a substitute for the "counseling" necessary between supervisor and subordinate.

c. In the absence of expected standards, evaluations are open to the criticism that they are too objective.

d. Use of over-simplified evaluation forms places a limitation on the effectiveness of the evaluator because many important details concerning the subordinate are normally omitted.

Question 7.

Select the statement which correctly describes the conclusions regarding the alternatives to present evaluation methods.

a. Presently, several satisfactory alternatives to a systematic and uniform method of evaluation exist.

b. Present evaluation methods are too lenient on the men, consequently the system, as it exists, is generally ineffective.

c. The present system is universally considered the ideal system.

d. Assuming management wants to avoid charges of discrimination or arbitrary action, there is no adequate alternative to the existing systematic and uniform method of evaluation.

Question 8.

Select the statement which correctly describes one of the purposes of discussing evaluation reports with personnel.

a. To impress poor or marginal performers with the prospect of punishment if they do not show immediate improvement

b. To provide an opportunity for internal meetings between senior and subordinate

c. To inform subordinates of their performance levels, and to point out how and where they can attempt to improve

d. To give each man a feeling of importance and identity within the group.

Question 9.

LT Hammond is preparing to evaluate EN Holly. EN Holly is an experienced engineman. He has always been aggressive and quite energetic in the performance of his duties. Lately, his performance has dropped to a marginally acceptable level, and upon two occasions his work has even been substandard.

Select the statement which describes how LT Hammond might best structure his discussion.

a. Since EN Holly has shown a definite capability to do the work, LT Hammond should be firm and use a "Tell and Sell" technique and impress EN Holly with the possibility of punishment for continued poor performance.

b. Because EN Holly is an experienced engineman, LT Hammond should use the "Problem-Solving" techniques and attempt to establish mutual objectives.

c. EN Holly is apparently having a temporary morale problem and LT Hammond should structure his discussion to use the "Listen and Tell' technique, and not mention this temporary lapse in performance to EN Holly.

d. LT Hammond should let the discussion develop before he decides which technique to use.

Question 10.

Select the correct sequence of discussion techniques which i: described by the following:

1) Is good with insecure personnel

2) Considers subordinate's feelings

3) Establishes a mutual interest between superior and subordinate, using mutually established goals

a. 1) Tell and sell, 2) Tell and listen, 3) Problem-solving

b. 1) Problem-solving, 2) Tell and listen 3) Tell and sell

c. 1) Tell and sell, 2) Problem-solving 3) Tell and listen

d. 1) Tell and listen, 2) Tell and sell, 3) Problem-solving

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PROGRESS CHECK ANSWER AND REMEDIATION FORM

PART Eleven SEGMENT I

REMEDIATION TEXT Syndactic Text, VOL-XI

ITEM	ANSWER	REMEDIATION REFERENCE
1	c	Summary 1 Page 1
2	a	Summary 1 Pages 1-2
3	d	Summary 2 Pages 23-24
4	c	Summary 2 Pages 23-24
5	d	Summary 3 Pages 37-38
6	b	Summary 3 Page 38
7	d	Summary 4 Pages 54-55
8	c	Summary 4 Page 53
9	b	Summary 4 Pages 53-54
10	a	Summary 4 Pages 53-54
11		
12		
13		
14		
15		

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segment II

Enlisted Performance Evaluation

Syndactic Text

Single Volume

(ST/SV)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

FOREWORD

"Nature knows no pause in progress and development."

Goethe

This segment addresses problems specific to evaluation of enlisted performance, accenting the administrative and procedural requirements as well as the items that are used as the basis for measurement. While relatively short in length, this segment serves as a foundation for a later requirement to be fully appreciative of the impact and importance of enlisted man evaluation. Its criticality to morale, retention and promotion within the service cannot be overlooked.

ENLISTED PERFORMANCE EVALUATION

Summary 1

Purposes and Basis of Measurement

Introduction

Reports evaluating the performance of duties by enlisted men are required by the Chief of Naval Personnel. These evaluations are made periodically by supervisors within a command and they constitute a permanent chronological performance record of an individual's career.

Purpose of Enlisted Performance Evaluations

The periodic written evaluations of enlisted personnel provide a permanent performance record which is used to:

1) Determine eligibility for reenlistment, honorable discharge, and award of good conduct medals

2) Give the Commanding Officer the prerogative of definitely influencing the advancement of outstanding personnel

3) Select personnel for advancement in rate, assignment to special duties, special educational programs, and for appointment to commissioned status

Basis of Measurement

Objectivity is essential in evaluating the performance of duties by enlisted personnel because these evaluations are used for comparing the individual's performance with that of other personnel of the same rate, pay grade, and experience. This comparison is accomplished by grading the men in the following five subject areas.

1) Professional performance (i.e., skill and efficiency in performing all except supervisory duties)

2) Military behavior (i.e., acceptance of authority and conformance to behavioral standards)

3) Leadership and supervisory ability (i.e., ability to plan, assign, and direct work)

4) Military appearance (i.e., neatness in person and dress)

5) Adaptability (i.e., cooperation and ability to work well with others)

This is the end of Summary 1. Now, take Summary Pre-Quiz 1 on the next page.

Summary Pre-Quiz 1

Purposes and Basis of Measurement

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes a reason for having enlisted evaluation reports?

   a. The Chief of Naval Personnel is provided an opportunity to delegate some of his authority.

   b. They provide a permanent chronological appraisal of personnel performance.

   c. They provide a basis for disciplining those who fail to live up to standards.

   d. They provide an insight into the motivation and operations of the man being evaluated.

---

2. Which statement correctly describes how enlisted performance evaluations can be used?

   a. To determine eligibility for reenlistment, honorable discharge, or award of good conduct medal

   b. To give the Commanding Officer the prerogative of definitely influencing the advancement opportunities of outstanding personnel

   c. Both of the above

   d. None of the above

3. Which choice correctly lists basis of measurement upon which the performances of enlisted men are evaluated?

a. Military bearing, competence, integrity, leadership skills

b. Professional performance, moral responsibility, leadership skills, military behavior

c. Moral responsibility, military behavior, adaptability, integrity

d. Military appearance, adaptability, professional performance, military behavior, leadership and supervisory ability

---

Now, check your answers on page 6.

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ANSWERS TO SUMMARY PRE-QUIZ 1

1. b
2. c
3. d

If all your answers are correct, go on to Summary 2 on page 17. If you missed one or more questions, go to the next page and go through Programed Sequence 1.

Programed Sequence 1

Purposes and Basis of Measurement

OVERVIEW: In this frame sequence, you will learn the purposes and basis of enlisted performance evaluations.

---

1 The Chief of Naval Personnel has the responsibility for the overall administration of enlisted personnel.

Which of the following can be assumed?

a. The administration of enlisted performance evaluations is normally delegated to Commanding Officers and officers in charge.

b. The administration of enlisted performance evaluations is normally carried out by the Chief of Naval Personnel.

2

1. Determine eligibility for reenlistment, honorable discharge, and award of the Good Conduct Medal.

2. Give the Commanding Officer the prerogative of definitely influencing the advancement of outstanding personnel.

3. Select personnel for advancement in rating assignment to special duties, special educational programs, and for appointment to commissioned status.

Figure 1. Uses of Enlisted Performance Evaluations

One of the reasons for having evaluation reports is that they provide a permanent chronological appraisal of personnel performance. This chronological record is used, among other things, for determining eligibility for reenlistment, honorable discharge, or award of the Good Conduct Medal.

Which of the following illustrates this purpose?

a. The Personnel Officer used the evaluation reports in determining that the sailor needed three more months of good conduct to be eligible for the Good Conduct Medal.

b. The Personnel Officer used the evaluation reports in determining the eligibility of the sailor to reenlist.

c. Both of the above

d. None of the above

3 Read the following example which illustrates another use of enlisted performance evaluations.

> After the department heads had completed the enlisted evaluation reports, the Captain reviewed them. He noticed some low marks on a man that he considered well above average. The Captain returned the report for reevaluation and added his own comments to counter the low marks given by the division officer.

What use of enlisted performance evaluations does this example illustrate?

a. To enable commanding officers to review the attitudes of division officers

b. To enable commanding officers to positively influence the advancement of outstanding individuals

---

4 Which of the following correctly states a reason for having evaluation reports?

a. They provide a permanent chronological appraisal of personnel performance.

b. To determine eligibility for reenlistment, honorable discharge and award of good conduct medals

c. Both of the above

d. None of the above

5 Here is still another way in which enlisted performance evaluations can be used: to assist various boards in their selection of personnel for advancement, appointment to commissioned status, and assignment to special duties and educational programs.

Which example illustrates this use of enlisted performance evaluations?

a. "In summation, I want each of you division officers to remember this when you evaluate your men: If you grade too high, you may be helping an undeserving man to be advanced in rate," concluded the department head.

b. The Executive Officer's memo to the department heads reminded them that they were required to submit special performance evaluation reports on those petty officers who had been recommended for appointment to commissioned status.

c. Both of the above

d. None of the above

6 Objectivity is essential in evaluating the performance of duties by enlisted personnel because these evaluations are used for comparing the individual's performance with that of other personnel of the same rating, pay grade, and experience.

Which of these cases illustrates objectivity in making enlisted performance evaluations?

a. The young ensign filling out his chief's performance evaluation thought, "Maybe I am grading him a bit high, but then we play golf together and are good friends. So why shouldn't I give a friend an extra boost? Even the BuPers Manual says it is impossible to attain uniformity in personnel evaluations."

b. "Naturally," continued the young division officer, "my personal dislike of the man influenced his performance evaluation report."

c. Both of the above

d. None of the above

---

7 Figure 2 below states the basis of measurement in enlisted performance evaluations.

The report of enlisted performance evaluation evaluates the individual on the following basis:

1. Professional performance
2. Military behavior
3. Leadership and supervisory ability
4. Military appearance
5. Adaptability

Figure 2. Basis of Measurement

8 Which is true?

a. Evaluation reports permit the Commanding Officer to positively influence the advancement of outstanding individuals.

b. Evaluation reports provide a permanent chronological appraisal of personnel performance.

c. Both of the above

d. None of the above

---

9 Which choice correctly states the five major areas for evaluating the performance of duties by enlisted personnel?

a. Creativity
Integrity
Military bearing
Adaptability
Leadership and supervisory ability

b. Professional performance
Military behavior
Military appearance
Adaptability
Leadership and supervisory ability

---

10 Which statement correctly describes a use of enlisted performance evaluations?

a. They assist various boards in their selections of personnel for advancement and appointment to commissioned status.

b. They assist various boards in their selection of personnel for assignment to special duties and educational programs.

c. Both of the above

d. None of the above

Now, go to the next page and take the Quiz.

Summary Post-Quiz 1

Purposes and Basis of Measurement

Answer the following questions as indicated in your Student Guide.

---

1. Which choice correctly lists basis of measurement upon which the performances of enlisted men are evaluated?

   a. Professional performance, moral responsibility, leadership skills, military behavior

   b. Military bearing, competence, integrity, leadership skills

   c. Moral responsibility, military behavior, adaptability, integrity

   d. Military appearance, adaptability, professional performance, military behavior, leadership and supervisory ability

---

2. Which statement describes correctly a reason for having enlisted evaluation reports?

   a. They provide a permanent chronological appraisal of personnel performance.

   b. They provide a basis for disciplining those who fail to live up to standards.

   c. They provide an insight into the motivation and operations of the man being evaluated.

   d. The Chief of Naval Personnel is provided an opportunity to delegate some of his authority

3. Which statement correctly describes how enlisted performance evaluations can be used?

a. To determine eligibility for reenlistment, honorable discharge, or award of good conduct medal

b. To give the Commanding Officer the prerogative of definitely influencing the advancement opportunities of outstanding personnel

c. Both of the above

d. None of the above

Now, check your answers on page 16.

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ANSWERS TO SUMMARY POST-QUIZ 1

1. d
2. a
3. c

Now, go to Summary 2 on the next page.

Summary 2

Preparation of Evaluation Reports

Enlisted performance evaluations fall into two categories: regular and special. The former are submitted at regular intervals and submission dates vary by pay grade. The latter are used to update for special reports the performance data currently on file. On pages 19 and 20 there is a copy of the NAVPERS 792 form used for both types of evaluation reports. Detailed requirements for the regular and special evaluation reports are listed in the BuPers Manual.

Responsibility for preparation of enlisted evaluation reports rests with the Commanding Officer. Furthermore, his signature or that of his designated representative(s) (Executive Officer or department heads above lieutenant) must appear on the completed report form. The Commanding Officer is also required to make certain that each evaluation reflects the individual's demonstrated performance and abilities in comparison with those of his contemporaries and are in accordance with established Navy standards. It is important that serious shortcomings and other deficiencies affecting reliability be reported and justified by specific comments. Similarly, "extremely effective" evaluations must also be justified by written comment. Further, the Commanding Officer is responsible for the proper indoctrination of those officers and enlisted personnel in the chain of

command who are charged with preparing and submitting evaluation reports. Normally, the appropriate petty officer submits a "rough" report on an individual to his division officer for review and revision; the department head reviews it next; and then the final report is signed by the officer(s) designated by the Commanding Officer.

This is the end of Summary 2. Now, take Summary Pre-Quiz 2 on page 21.

REPORT OF ENLISTED PERFORMANCE EVALUATION
NAVPERS 792 (Rev. 6-65)
0105 - 901 - 3050

PERIOD OF REPORT
_____ To _____

NAME (Last, First, Middle)	SERVICE NO.	RATE AND	PRESENT SHIP OR STATION

INSTRUCTIONS

1. For each trait, evaluate the man on his actual observed performance. If performance was not observed, check the "Not Observed" box.
2. Compare him with others of the same rate.
3. If the major portion of his work has been outside his rate or pay grade during this reporting period, evaluate him on what he did. Describe what he did in the "Comments" section.
4. Pick the phrase which best fits the man in each trait and check left or right box under it. (Left box is more favorable.)

	NOT OBSERVED									
1. PROFESSIONAL PERFORMANCE: His skill and efficiency in performing assigned duties (except SUPERVISORY)	☐	*							*	*
		Extremely effective and reliable. Works well on his own.		Highly effective and reliable. Needs only limited supervision.		Effective and reliable. Needs occasional supervision.		Adequate, but needs routine supervision.		Inadequate. Needs constant supervision.
2. MILITARY BEHAVIOR: How well he accepts authority and conforms to standards of military behavior.	☐	*							*	*
		Always acts in the highest traditions of the Navy.		Willingly follows commands and regulations.		Conforms to Navy standards.		Usually obeys commands and regulations. Occasionally lax.		Dislikes and flouts authority. Unseamanlike.
3. LEADERSHIP AND SUPERVISORY ABILITY: His ability to plan and assign work to others and effectively direct their activities.	☐	*							*	*
		Gets the most out of his men.		Handles men very effectively.		Gets good results from his men.		Usually gets adequate results.		Poor supervisor.
4. MILITARY APPEARANCE: His military appearance and neatness in person and dress.	☐	*							*	*
		Impressive. Wears Naval uniform with great pride.		Smart. Neat and correct in appearance.		Conforms to Navy standards of appearance.		Passable. Sometimes careless in appearance.		No credit to the Naval Service.
5. ADAPTABILITY: How well he gets along and works with others.	☐	*							*	*
		Gets along exceptionally well. Promotes good morale.		Gets along very well with others. Contributes to good morale.		A good shipmate. Helps morale.		Gets along adequately with others.		A misfit.

6. DESCRIPTION OF ASSIGNED TASKS.

7. EVALUATION OF PERFORMANCE (E-5 and above include comment on ability in self expression and command, orally and in writing, of the English language)

* 8. THESE ITEMS MUST BE JUSTIFIED BY COMMENTS IN ADDITION TO THOSE IN ITEM 7 ABOVE.

9. REASON FOR REPORTING	10. DATE	11. SIGNATURE OF REPORTING SUPERIOR
☐ SEMI-ANNUAL ☐ TRANSFER ☐ OTHER _____		

NAVPERS FORM 792 (Front)

NAVPERS 792 (Rev. 6-65) BACK

12. SERVICE SCHOOL(S) ATTENDED DURING PERIOD OF THIS REPORT

INCLUSIVE DATES	SCHOOL	GRADUATED (YES-NO)	CLASS STANDING

13. SPECIAL QUALIFICATIONS NOT INDICATED BY RATING OR PRIMARY NEC ATTAINED DURING PERIOD OF THIS REPORT

14. OFF-DUTY EDUCATIONAL ACHIEVEMENTS *(USAFI, college courses, correspondence courses, etc.)* COMPLETED DURING PERIOD OF THIS REPORT.

GPO 872-807

NAVPERS FORM 792 (Back)

Summary Pre-Quiz 2

Preparation of Evaluation Reports

Answer the following questions as indicated in your Student Guide.

---

1. What factors of comparison are utilized in evaluating a man's abilities and performance?

   a. Past performance and established standards

   b. Established standards and expected performance

   c. Established standards and performance by the man's contemporaries

   d. Capabilities of the man's contemporaries and established standards

---

2. Which statement correctly describes the action to be taken when an individual's performance has been judged "extremely effective" or "inadequate"?

   a. The judgment must be reviewed by the Commanding Officer.

   b. The judgment must be justified by written comment.

   c. The appropriate officer must counsel the individual who received the judgment.

   d. The Commanding Officer must reevaluate the individual's performance to ensure validity.

---

3. Who is responsible for the final evaluation of enlisted personnel?

   a. Department head

   b. Division officer

   c. Petty officer

   d. Commanding Officer

Now, check your answers.

ANSWERS TO SUMMARY PRE-QUIZ 2

1. c
2. b
3. d

If all your answers are correct, you have completed this segment. If you missed one or more questions, go to the next page and go through Programed Sequence 2.

Programed Sequence 2

Preparation of Evaluation Reports

OVERVIEW: In this frame sequence, you will learn about the preparation of evaluation reports.

---

1 The Commanding Officer is responsible for the final evaluation of enlisted personnel.

Which example illustrates this?

a. The administrative instructions of the aircraft carrier authorized the department heads to sign enlisted evaluation reports.

b. The lieutenant, who was the destroyer's Chief Engineer, told the division officers to have the enlisted evaluation reports made out for his signature. He explained that the Captain was too busy to get wrapped up in such details.

---

2 Who is responsible for the final evaluation of enlisted personnel?

a. Department head

b. Petty officer

c. Commanding Officer

d. Division officer

---

3 Each evaluation should be objective, i.e., based upon the individual's abilities and performance as compared to established standards and the performance of the man's contemporaries.

4 Which factor is used in evaluating an individual's abilities and performance?

a. Past evaluations of performance

b. Established standards

---

5 Refer to the NAVPERS Form 792 on pages 25 and 26. Sections of the NAVPERS 792 that contain an asterisk (which indicates the high and low extremes of each trait) have to be individually justified in Item 8.

---

6 Which factors are used to evaluate a man's abilities and performance?

a. Established standards

b. Performance of the individual's contemporaries

c. Both of the above

d. None of the above

---

7 Which correctly states the action to be taken on the NAVPERS Form 792 when an individual's performance has been judged "extremely effective" or "inadequate"?

a. The judgment must then be reviewed by the Commanding Officer.

b. The judgment must be justified by written comment.

REPORT OF ENLISTED PERFORMANCE EVALUATION
NAVPERS 792 (Rev. 6-65)
0105 - 901 - 3050

PERIOD OF REPORT
_____ To _____

NAME (Last, First, Middle)	SERVICE NO	RATE ABB.	PRESENT SHIP OR STATION

INSTRUCTIONS

1. For each trait, evaluate the man on his actual observed performance. If performance was not observed, check the "Not Observed" box.
2. Compare him with others of the same rate.
3. If the major portion of his work has been outside his rate or pay grade during this reporting period, evaluate him on what he did. Describe what he did in the "Comments" section.

Pick the phrase which best fits the man in each trait and check left or right box under it. (Left box is more favorable.)

1. PROFESSIONAL PERFORMANCE: His skill and efficiency in performing assigned duties (except SUPERVISORY)											
NOT OBSERVED ☐	Extremely effective and reliable. Works well on his own.		Highly effective and reliable. Needs only limited supervision.		Effective and reliable. Needs occasional supervision.		Adequate, but needs routine supervision.		Inadequate. Needs constant supervision.		
	*								*	*	
2. MILITARY BEHAVIOR: How well he accepts authority and conforms to standards of military behavior.											
NOT OBSERVED ☐	Always acts in the highest traditions of the Navy.		Willingly follows commands and regulations.		Conforms to Navy standards.		Usually obeys commands and regulations. Occasionally lax.		Dislikes and flouts authority. Unseamanlike.		
	*								*	*	
3. LEADERSHIP AND SUPERVISORY ABILITY: His ability to plan and assign work to others and effectively direct their activities.											
NOT OBSERVED ☐	Gets the most out of his men.		Handles men very effectively.		Gets good results from his men.		Usually gets adequate results.		Poor supervisor.		
	*								*	*	
4. MILITARY APPEARANCE: His military appearance and neatness in person and dress.											
NOT OBSERVED ☐	Impressive. Wears Naval uniform with great pride.		Smart. Neat and correct in appearance.		Conforms to Navy standards of appearance.		Passable. Sometimes careless in appearance.		No credit to the Naval Service.		
	*								*	*	
5. ADAPTABILITY: How well he gets along and works with others.											
NOT OBSERVED ☐	Gets along exceptionally well. Promotes good morale.		Gets along very well with others. Contributes to good morale.		A good shipmate. Helps morale.		Gets along adequately with others.		A misfit.		
	*								*	*	

6. DESCRIPTION OF ASSIGNED TASKS

7. EVALUATION OF PERFORMANCE (E-5 and above include comment on ability in self expression and command, orally and in writing, of the English language)

* 8. THESE ITEMS MUST BE JUSTIFIED BY COMMENTS IN ADDITION TO THOSE IN ITEM 7 ABOVE

9. REASON FOR REPORTING	10. DATE	11. SIGNATURE OF REPORTING SUPERIOR
☐ SEMIANNUAL ☐ TRANSFER ☐ OTHER _____		

NAVPERS FORM 792 (Front)

NAVPERS 792 (Rev. 6-65) BACK

12. SERVICE SCHOOL(S) ATTENDED DURING PERIOD OF THIS REPORT

INCLUSIVE DATES	SCHOOL	GRADUATED (YES-NO)	CLASS STANDING

13. SPECIAL QUALIFICATIONS NOT INDICATED BY RATING OR PRIMARY NEC ATTAINED DURING PERIOD OF THIS REPORT

14. OFF-DUTY EDUCATIONAL ACHIEVEMENTS *(USAFI, college courses, correspondence courses, etc.)* COMPLETED DURING PERIOD OF THIS REPORT.

GPO 872-507

NAVPERS FORM 792 (Back)

8 The Commanding Officer is also responsible for the proper indoctrination of those officers and enlisted personnel in the chain of command who are charged with preparing and submitting evaluation reports.

Which of these follows the correct procedure for preparing evaluation reports?

a. The appropriate petty officer submits a "rough" report on an individual to his division officer for review and required revision.

b. The department head reviews the report after the division officer has reviewed it.

c. Both of the above

d. None of the above

---

9 Which of the following is true?

a. "Rough" evaluations are made by the appropriate division officers. The Commanding Officer has responsibility for the final evaluation of enlisted personnel. Evaluations are based upon the man's performance and attitude toward duties.

b. "Rough" evaluations are made by the appropriate petty officers. The Commanding Officer has responsibility for the final evaluation of enlisted personnel. Evaluations are based upon the man's abilities and performance compared to those of his contemporaries.

10 Which example illustrates the correct procedure for preparing evaluation reports?

a. "I want to emphasize that properly prepared enlisted performance evaluation reports must be objective," the Commanding Officer of the newly-commissioned MSO (ocean minesweeper) said to his officers. "Additionally," he continued, "they must also compare a man's performance with that of his contemporaries and with established standards. As this is a small ship and I'll know all the men aboard quite well, I will sign all evaluation reports myself."

b. The Plan of the Day published a schedule for completion of enlisted performance evaluation reports on E-4's as follows: Division petty officers--Monday, 16th; Division officers--Wednesday, 18th; Department heads--Wednesday, 25th. (Note: "Extremely effective" or "inadequate" grades in any trait will be justified in writing in Item 8 of the NAVPERS Form 792.)

c. Both of the above

d. None of the above

Now, go to the next page and take the Quiz.

Summary Post-Quiz 2

Preparation of Evaluation Reports

Answer the following questions as indicated in your Student Guide.

---

1. Who is responsible for the final evaluation of enlisted personnel?

   a. Division officer

   b. Commanding Officer

   c. Petty officer

   d. Department head

---

2. Which factors of comparison are utilized in evaluating a man's abilities and performance?

   a. Established standards and expected performance

   b. Past performance and established standards

   c. Established standards and performance of the man's contemporaries

   d. Ability of the man's contemporaries and established standards

---

3. Which statement correctly describes the action to be taken when an individual's performance has been judged "extremely effective" or "inadequate"?

   a. The judgment must be justified by written comment.

   b. The judgment must be reviewed by the commanding officer

   c. The commanding officer must reevaluate the individual's performance to ensure validity.

   d. The appropriate officer must counsel the individual who received the judgment.

Now, check your answers.

ANSWERS TO SUMMARY POST-QUIZ 2

1. b
2. c
3. a

This is the end of Part Eleven, Segment II.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segment II

Enlisted Performance Evaluation

Progress Check

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

ENLISTED PERFORMANCE EVALUATION

PROGRESS CHECK

Question 1.

Select the paragraph which best describes the purposes of enlisted performance evaluation.

a. Enlisted performance evaluations determine the eligibility of the individual involved to request special consideration regarding rank privileges and assignments. They also serve to positively influence the advancement of mediocre individuals.

b. Enlisted performance evaluations provide the necessary impetus for outstanding individuals to perform better than usual. They also assist various boards in selection of personnel for reassignment.

c. Enlisted performance evaluations determine eligibility for reenlistment and honorable discharge. They permit commanders to positively influence the advancement opportunities of outstanding individuals.

d. Enlisted performance evaluations help the Navy Personnel Office to distinguish individuals of low caliber from all other personnel. The evaluations are also an incentive for commanders to insist that their men perform well.

Question 2.

Select the statement which describes a major use of enlisted evaluation reports.

a. A major use of enlisted evaluation reports is to provide the necessary incentive to individuals whose performance is substandard.

b. A major use of enlisted evaluation reports is to provide a permanent chronological appraisal of personnel performance.

c. A major use of enlisted evaluation reports is to encourage professional performance of duties.

d. A major use of enlisted evaluation reports is to determine the eligibility of personnel for retirement or special assignment.

Question 3.

Select the statement that correctly describes the basis upon which enlisted personnel are evaluated for their performance.

a. Professional performance, military appearance, and adaptability

b. Military appearance, leadership, and supervisory ability

c. Military behavior, ability, military appearance, and adaptability

d. Military behavior, leadership and supervisory ability, adaptability, professional performance, and military appearance

Question 4.

Which statements are true of special reports?

1. They are submitted annually or semi-anually.
2. They are submitted at some time other than prescribed reporting dates.
3. They are used to update information on file.
4. They are submitted only on senior petty officers.

a. 1 and 2

b. 2 and 3

c. 1 and 4

d. 3 and 4

Question 5.

Select the statement which describes the basic difference between regular and special reports.

a. Regular reports are submitted annually or semi-annually according to pay grade. Special reports are submitted at a time other than the regular report date.

b. Regular reports are submitted quarterly whereas special reports are submitted for unusual occurrences, such as a reduction in pay grade.

c. Regular reports are submitted whenever the parent unit has decided. Special reports are required reports sent annually to the Navy Personnel Office.

d. Regular reports are submitted annually whereas special reports are submitted upon request of the subordinate in question.

Question 6.

From the following identify those items which are appropriate in the preparation of evaluation reports.

1. Each evaluation should be based on the individual's performance as compared to his tests and intelligence ratings. A definite effort should be made to relate performance to an individual's intelligence rating.

2. Any area where the man's performance is judged "extremely effective" or "inadequate" must be justified by a written comment.

3. The initial rough evaluation should be made by the appropriate petty officer and reviewed by the division officer and department head.

4. Under the direct supervision of the Commanding Officer, the junior officer is responsible for the final evaluation of enlisted personnel.

a. 1, 2, and 3

b. 1, 3, and 4

c. 2 and 3

d. 1 and 4

Question 7.

Identify those items which are appropriate in the preparation of evaluation reports.

a. The "rough" evaluation should be done by at least three individuals familiar with the individual's performance; each evaluation should be objective; the final copy should be examined by the subordinate in question.

b. The "rough" evaluation should be drafted by the department head, reviewed by the appropriate supervisor, and passed on to the division officer for approval.

c. The "rough" evaluation should be made by the appropriate PO and reviewed by the division officer or department head; each evaluation should be objective; any area judged to be inadequate must be justified.

d. a and c

Question 8.

Select the statement which describes the factors of comparison which are utilized to evaluate personnel abilities and performance.

a. Each evaluation should be based objectively upon the individual's abilities and performance as compared to established standards and the performance of the individual's contemporaries.

b. Each evaluation should be based objectively upon the individual's training and prior experience as compared to his performance regarding established standards and past results of men of the subordinate's same rank.

c. Each evaluation should be based subjectively upon the individual's ability and attitude as compared to the actual recorded performance of the individual.

d. Each evaluation should be based objectively upon the individual's intelligence, training, and performance as compared to his superiors' performance of the established standards.

Question 9.

Select the statement that describes the appropriate action to be taken when an individual's performance has been judged "extremely effective" or "inadequate."

a. Provide appropriate rewards or punishments.

b. Justification must be provided by written explanation.

c. A detailed case history must be prepared explaining all relating circumstances.

d. a and c

PROGRESS CHECK ANSWER AND REMEDIATION FORM

PART Eleven SEGMENT II

REMEDIATION TEXT Syndactic Text, VOL-XI

ITEM	ANSWER	REMEDIATION REFERENCE
1	c	Summary 1 Page 1
2	b	Summary 1 Page 1
3	d	Summary 1 Page 2
4	b	Summary 2 Page 17
5	a	Summary 2 Page 17
6	c	Summary 2 Pages 17-18
7	c	Summary 2 Page 18
8	a	Summary 2 Page 17
9	b	Summary 2 Page 17
10		
11		
12		
13		
14		
15		

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segment III

Officer Evaluation

Syndactic Text

Single Volume

(ST/SV)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

FOREWORD

"A strong leader knows that if he develops his associates he will be even stronger."

James F. Lincoln

The details of officer evaluation are developed in this segment. There is an additional attempt in this segment to provide guidelines for interpreting the various critical items that comprise the fitness report. While this segment concludes the coverage of personnel evaluation, it is again noted that this material is introductory, touching only the top of the iceberg of this intensely critical subject.

OFFICER EVALUATION

Summary 1

Importance and Purposes of Fitness Reports

Introduction

The administration of officer personnel is closely controlled by federal law (Officer Personnel Act of 1947), with the Secretary of the Navy responsible for decisions on such matters as officer promotions, discharges, and retirements. Administrative procedures governing evaluation of officer personnel have been developed to implement the federal law.

Fitness Reports

Fitness reports are essential tools required to properly evaluate the relative merits of large numbers of Navy officers competing for promotion consideration. Consecutive fitness reports provide a running record of the officer's performance of duty and an estimate of his capabilities. These and other criteria are evaluated by the selection board convened to consider officers of the same grade for promotion. They provide guidance to the detail officer in BuPers who is charged with officer assignments. Knowledge of past performance and capabilities permits detail of an officer to duties which he can best perform. Fitness reports serve the following specific purposes:

1) Supply BuPers with a record of specific duties performed by an officer, the period these duties were performed, and the manner of performance of the duties

2) Enable BuPers to rate an officer's leadership qualities over a period of time and under specific conditions

3) Provide a record of the current qualifications of an officer in several types of duty

4) Provide an opinion as to the officer's all-around ability, value to the service, and qualifications for promotion

5) Indicate professional qualifications of the officer

6) Indicate commendatory or censorious material received about the officer and any disciplinary action taken

7) Indicate the general state of the officer's health

8) Indicate the officer's personal characteristics

Since fitness reports are the primary bases for selecting officers for promotion and assignment to duty, it is essential that reporting seniors provide realistic, objective evaluations of individual officers. Failure to perform this obligation is an injustice to the careers and opportunities of able and competent officers. In essence, the fitness report seeks to obtain the reporting senior's opinion of the characteristics of an officer, both as an individual considered separately, and as a member of a group having comparable age, status, and experience.

This is the end of Summary 1. Now, go to Summary Pre-Quiz 1 on the next page.

Summary Pre-Quiz 1

Importance and Purposes of Fitness Reports

Answer the following questions as indicated in your Student Guide.

---

1. Why should reporting seniors provide realistic, objective evaluations in making out fitness reports?

   a. Because in the case of an officer whose performance is deficient, there is an opportunity for him to recognize his shortcomings and rectify them in the future

   b. Because fitness reports are the primary basis for selecting officers for promotion and assignment to duty, and failure to perform an honest evaluation is an injustice to the careers and opportunities of able and competent officers

   c. Both of the above

   d. None of the above

---

2. Which statement is <u>not</u> a specific purpose served by fitness reports?

   a. To show duties performed and the manner of their performance

   b. To obtain a record of an officer's current qualifications

   c. To indicate conformance with administrative procedures

   d. To furnish information on the qualities of leadership exhibited

3. Which statement describes the general purpose and importance of fitness reports?

a. Without fitness reports, it would be impossible to evaluate the relative merits of officers of the same experience when they come up for promotion.

b. Taken together, fitness reports provide a qualifying history of an officer's naval service and make possible an accurate estimate of his capabilities by a selection board.

c. Both of the above

d. None of the above

Now, check your answers on page 6.

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ANSWERS TO SUMMARY PRE-QUIZ 1

1. c
2. c
3. c

If all your answers are correct, go to Summary 2 on page 25.
If you missed one or more questions, go through Programed Sequence 1 on the next page.

Programed Sequence 1

Importance and Purposes of Fitness Reports

OVERVIEW: In this frame sequence, you will be briefly introduced to the legal aspects governing the administration of officer personnel. You will also learn specific purposes served by officer fitness reports as well as the obligation of the reporting senior in filling out the reports.

---

1 The administration of officer personnel in the Armed Forces is directly controlled by Congress and governed by statute, specifically the Officer Personnel Act of 1947.

Which of the following statements is correct?

a. The administration of officer personnel has no legal basis.

b. The administration of officer personnel is controlled by federal law.

c. Both of the above

d. None of the above

2 The secretarial level of the military departments is the lowest echelon at which important administrative decisions are made concerning officers. In the Department of the Navy, who would be responsible for decisions on officer promotions, discharges, and retirements?

a. The Secretary of the Navy

b. The Chief of Naval Operations

c. Both of the above

d. None of the above

---

3 The Secretary of the Navy is responsible for which of the following?

a. Important decisions with respect to officer personnel on such matters as promotions, discharges, and retirements

b. Administrative decisions concerning the performance of enlisted personnel

c. Both of the above

d. None of the above

4 Administrative procedures governing the evaluation of officer performance have been developed to implement the federal laws.

What may you infer from this?

a. That conformance with the law by officer personnel will make it easier for a comprehensive picture of the officer to be furnished

b. That adherence to administrative procedures provides proper documentation for the Secretary of the Navy to make the necessary decisions with respect to officer personnel

c. Both of the above

d. None of the above

---

5 Which expresses the reason for development of administrative procedures for officer evaluation?

a. Adherence to military law

b. Implementation of federal laws

c. Both of the above

d. None of the above

---

6 Which individual is responsible for decisions on officer promotions, discharges, and retirements?

a. The Secretary of Defense

b. The Chief of Naval Personnel

c. The Secretary of the Navy

d. Fleet Commanders

7 Which paragraph correctly describes the responsibility and administrative procedures concerning the evaluation of officer personnel?

a. The administration of officer personnel is governed by federal law, with the Secretary of the Navy being responsible for individual decisions on such matters as officer promotions, discharges, and retirements. Administrative procedures have been developed concerning the evaluation of officer personnel to implement the federal laws.

b. The Secretary of Defense is responsible for the administration of officer personnel, which is closely controlled by federal law. Administrative procedures have been developed to assist the Secretary of the Navy to make administrative decisions concerning officer personnel.

c. Both of the above

d. None of the above

---

8 In an organization as complex as the Navy, it would be impossible, without fitness reports, to select for promotion those best suited for assuming responsibility.

For what are fitness reports necessary?

a. Tracing lines of responsibility and promoting efficiency throughout the chain of command

b. Evaluating the relative merits of officers of the same experience when they become due for promotion

c. Both of the above

d. None of the above

9 Selection boards are convened periodically by the Secretary of the Navy to consider officers in each grade for promotion.

What may you reason to be the general purpose of fitness reports?

a. To enable the selection board to make an accurate estimate of an officer's capabilities

b. To provide the board with a running record of an officer's performance of duty under varying conditions

c. Both of the above

d. None of the above

---

10 Fitness reports, which constitute a qualifying history of an officer's naval service, also enable the detail officer in the Bureau of Naval Personnel to assign officers to duties which they can best perform.

Which is an additional purpose of fitness reports?

a. To provide guidance to the detail officer in assignment of duties

b. To enable the detail officer to promote officers based on his personal evaluation of prior performance of duties

c. Both of the above

d. None of the above

11 Which paragraph correctly states the general purpose and importance of fitness reports?

a. Fitness reports provide the officer reported on with a running record of his professional qualifications and performance capabilities. When taken together, these reports will become the basis for his personal and professional service reputation.

b. Fitness reports are necessary for evaluating the relative merits of officers of the same experience. When they become due for promotion or new assignment, the reports provide a running record for selection boards and guidance for the detail officer in the Bureau of Naval Personnel.

c. Both of the above

d. None of the above

---

12 Why were administrative procedures governing the evaluation of officer personnel developed?

a. To enable Congress to delegate authority to the Secretary of the Navy to administer federal law

b. To implement federal law

c. Both of the above

d. None of the above

---

13 Responsibility for important decisions with respect to officer personnel, such as promotions and discharges, rests with whom?

a. The Secretary of Defense

b. The Chief of Naval Operations

c. Both of the above

d. None of the above

14 Refer to the Purposes of Fitness Reports (Figure 1) on the following page in answering Frames 14 through 21.

Comments by the reporting senior under the remarks section of the fitness report might read as follows:

> As technical advisor for educational materials prepared at this activity, LT Adams has demonstrated knowledge of many technical areas. His conscientious and thorough review adds much to the quality of the training material produced at this activity. In performing collateral duties as security officer, he recognized the need for and established an effective security indoctrination program for personnel reporting aboard. He is well qualified for promotion.

What specific purpose of a fitness report is best illustrated by the paragraph above?

a. To indicate commendatory or censorious material received about the officer and any disciplinary action taken

b. To obtain an opinion as to the officer's all-around ability and value to the service and his qualification for promotion

c. Both of the above

d. None of the above

1. To supply the Bureau of Naval Personnel with a record of specific duties performed by an officer, the period these duties were performed, and the manner of performance of the duties

2. To enable BuPers to rate an officer's leadership qualities over a period of time and under specific conditions

3. To provide a record of the current qualifications of an officer in several types of duty

4. To provide an opinion as to the officer's all-around ability, value to the service, and qualifications for promotion

5. To indicate professional qualifications of the officer

6. To indicate commendatory or censorious material received about the officer and any disciplinary action taken

7. To indicate the general state of the officer's health

8. To indicate the officer's personal characteristics

Figure 1. Purposes of Fitness Reports

15 Leadership may be viewed in terms of physical and/or psychological characteristics that are exhibited by an individual. One purpose of the fitness report is: To furnish information on the degree to which an officer has exhibited the qualities of leadership during a certain period.

Which correctly illustrates this purpose?

a. The degree (exceptional, superior, excellent, etc.) to which an officer has exhibited personal behavior, military bearing, and self-expression ability

b. The degree (exceptional, superior, excellent, etc.) to which an officer has exhibited professional knowledge, moral courage, and judgment

c. Both of the above

d. None of the above

---

16 Fitness reports also serve the purpose of informing the Bureau of Naval Personnel of the duties performed by an officer and the manner in which those duties were performed.

Which correctly illustrates this purpose?

a. A complete listing of primary and collateral duty assignments and an objective evaluation of the officer's performance of the specific aspects of these duties by the reporting senior

b. A reporting senior's opinion, based on personal observation of the officer's qualification for future duty assignments

c. Both of the above

d. None of the above

17 Which correctly lists specific purposes served by fitness reports?

a. To show duties performed and the manner of their performance and to provide an opinion of an officer's all-around ability and value to the service

b. To show qualities of leadership exhibited and to provide a basis for consideration for postgraduate schooling

c. Both of the above

d. None of the above

---

18 Fitness reports also reflect the physical fitness of the officer reported upon.

What is another specific purpose served by fitness reports?

a. To indicate the general state of health of the officer being evaluated

b. To indicate the officer's military bearing, i.e., correctness of uniform and smartness of appearance

c. Both of the above

d. None of the above

19 Read the following sample comment by a reporting senior.

> LT Gleason is a highly intelligent, diligent worker who has a pleasing personality, and commands the respect of all personnel of this command.

What specific purpose of fitness reports is illustrated by this comment?

a. To indicate the professional competence of the officer

b. To indicate the officer's personal characteristics

c. Both of the above

d. None of the above

---

20 Fitness reports also serve to indicate commendatory or censorious material received about the officer and any disciplinary action taken during the report period.

Which correctly illustrates this purpose?

a. A reporting senior's comments on the officer's professional and technical competence

b. A reporting senior's comments on the adaptability of the officer to varying conditions of naval service

c. Both of the above

d. None of the above

21 Fitness reports show the duties assigned during the period of the report and an evaluation of the officer's performance of duties during this report period.

What is another purpose served by fitness reports?

a. To provide a record of the current qualifications of an officer in several types of duties

b. To provide a compilation of commendatory or censorious material received by the officer

c. Both of the above

d. None of the above

---

22 Which correctly lists specific purposes served by fitness reports?

a. To show duties performed and manner of performance, to show professional qualifications and qualifications for promotion, and to show general state of health and personal characteristics

b. To show commendatory or disciplinary action taken, to provide a record of current qualifications, to show qualities of leadership exhibited, and to provide an opinion of officer's all-around ability

c. Both of the above

d. None of the above

23 Fitness reports are decisive in the service career of the individual officer. Fitness reports are the primary basis for selecting officers for promotion and assignment to duty.

What may you infer from this?

a. Realistic, objective evaluations of individual officers are essential.

b. Failure of a reporting senior to be objective in his evaluations is an injustice to the careers and opportunities of able and competent officers.

c. Both of the above

d. None of the above

---

24 The preparation of fitness reports is one of the most important and responsible duties of senior officers. Careless preparation caused by lack of objectivity and fairness can result in a false estimate of the character and abilities of the officer reported on. Failure to provide realistic, objective officer evaluations can result in which of the following?

a. Infractions of Navy regulations by the officer reported on

b. Serious damage to a naval officer's career

c. Both of the above

d. None of the above

25 Which statement correctly describes the essence of the fitness report?

a. In essence, the fitness report seeks to obtain the reporting senior's opinion of the characteristics of the officer reported on, both as an individual considered separately, and as a member of a group having comparable age, status, and experience.

b. The essence of the fitness report is to provide the officer reported on an opportunity to examine his evaluation and thereby gain a knowledge about himself which is invaluable, i.e., to improve his performance by taking steps to correct his deficiencies.

c. Both of the above

d. None of the above

SUMMARY: In this frame sequence, you have learned that the administration of officer personnel is closely controlled by federal law, with the Secretary of the Navy responsible for important decisions affecting officer personnel. You have also learned about the importance of and purposes served by fitness reports.

This is the end of Programed Sequence 1. Now, go to the next page and take the Quiz.

Summary Post-Quiz 1

Importance and Purposes of Fitness Reports

Answer the following questions as indicated in your Student Guide.

---

1. Which statement describes the general purpose and importance of fitness reports?

   a. Taken together, fitness reports provide a qualifying history of an officer's naval service and make possible an accurate estimate of his capabilities by a selection board.

   b. Without fitness reports, it would be impossible to evaluate the relative merits of officers of the same experience when they come up for promotion.

   c. Both of the above

   d. None of the above

---

2. Which statement is <u>not</u> a specific purpose served by fitness reports?

   a. To indicate conformance with administrative procedures

   b. To obtain a record of an officer's current qualifications

   c. To show duties performed and the manner of their performance

   d. To furnish information on the qualities of leadership exhibited

3. Why should reporting seniors provide realistic, objective evaluations in making out fitness reports?

a. Because fitness reports are the primary basis for selecting officers for promotion and assignment to duty, and failure to perform an honest evaluation is an injustice to the careers and opportunities of able and competent officers.

b. Because in the case of an officer whose performance is deficient, there is an opportunity for him to recognize his shortcomings and rectify them in the future.

c. Both of the above

d. None of the above

Now, check your answers on page 24.

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ANSWERS TO SUMMARY POST-QUIZ 1

1. c
2. a
3. c

Now, go to Summary 2 on the next page.

Summary 2

Leadership Evaluation Factors

Ralph M. Stogdill, in summarizing a survey of leadership literature, concluded that there are six factors associated with leadership (Stogdill, 1948). The factors are: capacity, achievement, responsibility, participation, status, and situation. While these factors are covered extensively in the lessons on leadership behavior and style, they are reiterated here to show their relevance to leadership evaluation.

Capacity, the power to grasp and analyze ideas and cope with problems, includes one ability which correlates consistently with leadership--mental ability. While intelligence tests are reliable predictors for leader selection, intelligence testing is used only to a limited degree in the Navy; therefore, a subjective evaluation of an officer's alertness, verbal facility, originality, and judgment is often used to infer intelligence.

Achievement is an easier variable to measure since an individual's past accomplishments are a matter of record. Such things as educational achievement, special skills, and athletic accomplishments are considered in evaluating the individual's achievements.

The measure of an individual's sense of responsibility is best derived from a thorough knowledge of his actual performance. The traits or qualities that are often used to measure responsibility are:

1) Dependability

2) Initiative

3) Persistence

4) Aggressiveness

5) Self-confidence

6) Desire to excel

(Note: These terms are similar to the terminology used in the officer's fitness report.)

Participation is another factor that is best measured subjectively through close association with, and knowledge of, the individual. Areas used to measure participation are:

1) Sociability

2) Adaptability

3) Spirit of cooperation

4) Sense of humor

Natural selection tendencies in military socializing usually are along peer lines. Navy officers socially interact with those companions of equal rank. Since status is related to rank, status is an objective, easy-to-measure factor.

Finally, situation factors affect leadership according to research findings by Stogdill. The characteristics of the group are part of a situation. Effective leadership therefore implies a need for the leader's awareness of subordinates' status, mental levels, skills, needs, and interests. Group objectives are significant to the leader. Therefore, a commander must spell out the characteristics of the officer he desires for a particular leadership task. He selects a leader who is best suited to the task, the group, and the given mission.

This is the end of Summary 2. Now, go to Summary Pre-Quiz 2 on the next page.

Summary Pre-Quiz 2

Leadership Evaluation Factors

Answer the following questions as indicated in your Student Guide.

---

1. Which correctly identifies some of the factors used to evaluate leadership ability?

   a. Situation, adaptability, responsibility

   b. Education, achievement, speaking ability

   c. Capacity, achievement, participation

   d. Situation, intelligence, participation

---

2. Which is true of capacity as an evaluation factor?

   a. Mental ability correlates consistently with leadership; consequently, intelligence tests are reliable predictors for leader selection.

   b. A subjective evaluation of an officer's alertness, verbal facility, originality, and judgment is often used to infer intelligence.

   c. Both of the above

   d. None of the above

---

3. What are the traits of dependability, initiative, persistence, and aggressiveness often used to measure?

   a. Achievement

   b. Self-confidence

   c. Capacity

   d. Responsibility

Now, check your answers on page 30.

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ANSWERS TO SUMMARY PRE-QUIZ 2

1. c
2. c
3. d

If all your answers are correct, go to Summary 3 on page 47.
If you missed one or more questions, go to the next page and go through Programed Sequence 2.

Programed Sequence 2

Leadership Evaluation Factors

OVERVIEW: There are certain factors associated with leadership ability. They are: capacity, achievement, responsibility, participation, status, and situation. In this frame sequence, you will learn what is meant by these terms as far as their relevance to leadership evaluation is concerned.

---

1 Capacity as an evaluation factor refers to the officer's power to grasp and analyze ideas and cope with problems.

Capacity refers to which of the following?

a. Professional ability

b. Mental or intellectual ability

c. Both of the above

d. None of the above

---

2 Studies have shown that the effective leader is generally more intelligent than the group he is leading.

What may you infer from this?

a. Mental ability correlates consistently with leadership.

b. The intellectual level of individuals can be used to predict potential leadership abilities.

c. Both of the above

d. None of the above

3 Mental ability correlates consistently with leadership. What may you infer from this?

a. Intelligence tests are reliable predictors for leader selection.

b. A high level of intelligence is a necessary requisite for leadership.

c. Both of the above

d. None of the above

---

4 Intelligence testing is used to a limited degree in the Navy. Therefore, a subjective evaluation of qualities exhibited by the individual officer is used to infer intelligence.

Which qualities would probably serve as overt indicators of mental ability?

a. Alertness, verbal facility, and originality

b. Aggressiveness, sense of humor, and loyalty

c. Both of the above

d. None of the above

---

5 Subjective evaluations of such officer qualities as judgment and self-expression can serve as overt indicators of which of the following?

a. Capacity (mental ability)

b. Intelligence

c. Both of the above

d. None of the above

6 Which correctly describes capacity as an evaluation factor?

a. Intelligence can be determined by testing the individual's intelligence level and objectively evaluating the officer's capacity, i.e., his performance capabilities against an established standard.

b. Capacity includes one ability which correlates consistently with leadership--mental ability. Mental ability can be inferred by the proper subjective evaluation of such qualities as alertness, verbal facility, originality, and judgment.

c. Both of the above

d. None of the above

---

7 Another factor indicative of leadership ability is achievement. Achievement refers to an individual's past accomplishments.

Which would be considered an achievement?

a. Educational level attained

b. Possession of special skills in bomb dismantling

c. Athletic accomplishments

d. All of the above

8 Since an officer's achievements are a matter of record, what may you infer?

a. Achievement should be given only minimal consideration in officer evaluation.

b. Achievement is one of the easier variables to measure.

c. Both of the above

d. None of the above

---

9 Which statement best describes achievement as an evaluation factor?

a. Achievements constitute an important part of an officer's record; consequently, they may be used to evaluate an officer with a fair degree of accuracy.

b. Achievement as an evaluation factor should be interpreted very judiciously, if at all, since there is no way to verify the accuracy and validity of the officer's record.

c. Both of the above

d. None of the above

---

10 Judgment or the ability to develop correct and logical conclusions pertains to which leadership evaluation factor?

a. Capacity

b. Achievement

c. Both of the above

d. None of the above

11 Responsibility is another factor indicative of leadership ability. The best measure of an individual's sense of responsibility is derived from an intimate knowledge of his actual performance.

Which person would best be able to evaluate an individual's sense of responsibility?

a. The senior who evaluates the individual officer on the basis of records and reports

b. The senior officer who bases his evaluation on daily contact and close observation

c. Both of the above

d. None of the above

---

12 Refer to "Qualities for Measuring Responsibility" (Figure 2) in answering Frames 12 through 19.

Which correctly lists qualities that provide the best measurement of responsibility?

a. Desire to excel, initiative, and dependability

b. Self-confidence, innovation, and initiative

c. Both of the above

d. None of the above

1. Dependability	4. Aggressiveness
2. Initiative	5. Self-confidence
3. Persistence	6. Desire to excel

Figure 2. Qualities for Measuring Responsibility

13 Two traits used in measuring responsibility are dependability and initiative.

Which example illustrates these traits?

a. The afternoon weather summary was delivered to all squadron duty officers. ENS Anamosa, the VA-105 SDO, noted that the summary forecast extremely high winds after 0900 the following morning. That evening, the duty officer of another squadron asked Anamosa why he had not double-secured his planes in preparation for the storm. Anamosa replied, "The winds are not forecast to hit until after my watch is over. Anyway, if they do hit, we'll have later forecasts and more dope. Besides, I don't like to work the duty section unless I'm really pressed."

b. Several months after he reported aboard, ENS Storm wrote a memo to the Executive Officer suggesting formation of a special division for indoctrination of all reporting enlisted personnel. He noticed that newly assigned personnel were generally poor watch standers until they had been aboard several months. This he attributed to their lack of familiarity with the ship's organization and regulations. Additionally, they did not know the officer's names or their billet assignments. ENS Storm had been division officer of the X Division of his previous ship; therefore, he requested this assignment again. The Executive Officer approved his request and noted how eagerly and thoroughly he went about the task of organizing the new division. Within several months, the worth of this idea was proved and all of the division officers attested to its success.

c. Both of the above

d. None of the above

14 SM1 Jones reported for duty to the staff of COMCARDIV ONE. Prior to getting underway, Jones requested information concerning policies, tactics, and ship operations. Jones knew his signal books and communications instructions. He was experienced and competent. These attributes soon reflected in the operations of the flag signal bridge. Jones also held school at every opportunity. His methods of supervision inspired his subordinate signalmen and strikers to higher standards of performance. The outcome of his leadership was the development of one of the best signal gangs in the fleet.

Which responsibility traits does this example best illustrate?

a. Aggressiveness and the desire to excel

b. Persistence and judgment

c. Both of the above

d. None of the above

---

15 What are dependability, initiative, aggressiveness, and the desire to excel?

a. Traits often used to measure responsibility

b. Leadership evaluation factors

c. Both of the above

d. None of the above

16 The loss of the personnel officer presented an additional administrative burden to the already overworked and undermanned attack squadron. A young replacement pilot, who had recently joined the squadron and had been assigned as the education and training officer, asked the Executive Officer to be assigned to the vacant billet. The pilot readily acknowledged his inexperience and unfamiliarity with personnel procedures and administration. However, he said he would devote all of his free time toward additional study. The Executive Officer hesitated, but the young pilot cited the help the squadron's personnelman and leading chief could give him in learning the duties as proof that he would perform well in the assignment.

Which responsibility trait does this example illustrate?

a. Persistence

b. Self-confidence

c. Both of the above

d. None of the above

---

17 Which correctly describes traits often used to measure responsibility?

a. Aggressiveness, integrity, initiative, steadfastness, and high principles

b. Dependability, persistence, self-confidence, and the desire to excel

c. Both of the above

d. None of the above

18 What are capacity and achievement?

a. Leadership evaluation factors

b. Characteristics used to measure responsibility

c. Both of the above

d. None of the above

---

19 A fourth factor indicative of leadership ability is participation. Since participation literally means "taking part," what traits would be used to measure participation?

a. Spirit of cooperation and adaptability

b. Sociability and sense of humor

c. Resourcefulness and moral courage

d. a and b

e. All of the above

---

20 Since traits such as sociability, adaptability, cooperation, and sense of humor defy exact qualification and numerical measurement, how may you infer that participation is best measured?

a. Subjectively, through close association with and knowledge of the individual

b. Objectively, through statistical data available, such as membership in professional societies, civic activities, etc.

c. Both of the above

d. None of the above

21 Which correctly describes traits used to measure participation?

a. Dependability, initiative, persistence, and aggressiveness

b. Sociability, adaptability, cooperation, sense of humor

c. Both of the above

d. None of the above

---

22 Natural selection tendencies in military socializing usually are along peer lines. Navy officers socially interact with companions of equal rank. Thus, the military leadership evaluation factor of status is related to the individual's rank.

From this what may you infer that status is?

a. A subjective factor which is difficult to measure

b. An objective factor which is easy to measure

c. Both of the above

d. None of the above

---

23 To what does the position occupied (i.e., attained rank) in relation to other members of a group or organization refer?

a. The leadership evaluation factor of status

b. The leadership evaluation factor of achievement

c. Both of the above

d. None of the above

24 Which paragraph correctly describes status as an evaluation factor?

a. In a military organization, status involves the relative ranks of the officers being selected for leadership positions. Status (or rank) is an objective factor which is easy to measure.

b. Status is the relative rank in the military hierarchy of prestige. It is frequently a governing factor in evaluating individual officers, but difficult to measure because of its subjective nature.

c. Both of the above

d. None of the above

---

25 The last factor associated with leadership is the situation. This factor includes the characteristics of the group being led and the objectives to be achieved as part of the situation.

What points should be considered in evaluating leadership ability?

a. Attention should be given to the mental level, status, skills, needs, and interests of the followers (group).

b. The leadership demands of the particular assignment (mission) should be considered.

c. Both of the above

d. None of the above

26 Which correctly lists primary factors associated with leadership evaluation?

a. Status, aggressiveness, capacity and cooperation

b. Achievement, responsibility, capacity, participation and situation

c. Both of the above

d. None of the above

---

27 Which statement best describes the situation as an evaluation factor?

a. When using the situation as an evaluation factor, always remember that leadership is a function of the awareness of the leader in dealing with problems and tasks confronting his group's mental capabilities.

b. When using the situation as an evaluation factor, the demands and objectives of the mission must always be considered in relation to the characteristics of the group, i.e., mental level, status, needs, and interests of the followers.

28 Comments by the reporting senior in evaluating an officer's leadership ability might read as follows:

> ENS Wintheiser has performed all assigned duties in a satisfactory manner; however, he has not achieved his full potential to date. Although a highly motivated and dependable officer, he often needs a push to get started or to follow up on an assigned task. Being rather reserved he often appears to lack self-confidence. I believe with more maturity and experience, he will emerge from his shell and will develop to his full potential.

Which correctly identifies the leadership evaluation factors utilized in this example?

a. Achievement, responsibility, and status

b. Situation, dependability, cooperation, and capacity

SUMMARY: In this frame sequence, you have learned six factors associated with leadership ability and what is meant by these terms as far as their relevance to leadership evaluation is concerned. The factors are: capacity, achievement, responsibility, participation, status, and situation.

This is the end of Programed Sequence 2. Now, go to the next page and take the Quiz.

Summary Post-Quiz 2

Leadership Evaluation Factors

Answer the following questions as indicated by your Student Guide.

---

1. What are the traits of dependability, initiative, persistence, and aggressiveness often used to measure?

   a. Achievement

   b. Responsibility

   c. Capacity

   d. Self-confidence

---

2. Which correctly identifies some of the factors used to evaluate leadership ability?

   a. Capacity, achievement, participation

   b. Education, achievement, speaking ability

   c. Situation, adaptability, responsibility

   d. Situation, intelligence, participation

---

3. Which is true of capacity as an evaluation factor?

   a. Mental ability correlates consistently with leadership; consequently, intelligence tests are reliable predictors for leader selection.

   b. A subjective evaluation of an officer's alertness, verbal facility, originality, and judgment is often used to infer intelligence.

   c. Both of the above

   d. None of the above

Now, check your answers on page 46.

BLANK

ANSWERS TO SUMMARY POST-QUIZ 2

1. b
2. a
3. c

Now, go to Summary 3 on the next page.

Summary 3

Responsibility for Fitness Reports

Introduction

Responsibility for the preparation and submission of fitness reports is shared by the officer reported on and his reporting senior--the former for submitting his portion of the form to his senior, and the latter for submitting the completed report to the Chief of Naval Personnel.

Advice for Reporting Seniors

The officer making a report on the performance of his juniors bears a heavy responsibility. Fitness reports are decisive in an officer's career and have an important influence on the efficiency of the entire service. The preparation of these reports is, therefore, one of the most important and responsible duties of senior officers.

The task of making out fitness reports should not be taken lightly. Doing a thorough job is a challenging task for the reporting senior. Not only must he be aware of current standards of marking that prevail in the service, but he must be as impartial as possible. He must be aware of the necessity for presenting an accurate and concise picture of the officer reported upon.

The following quote from the Naval Officer's Guide expresses the responsibility which rests on the reporting senior.

> "When you are making out Fitness Reports, you are alone with a piece of paper, God, and your own conscience. I make it a practice to throw out all partisanship, insofar as is humanly possible, and try to evaluate the officer concerned as accurately as I can, keeping in mind the standard of marks and remarks that prevail in the service today. I consider making out these reports the most important single duty that I perform. If I allow myself to be influenced by friendship, because an ineffective young lad has a likable personality, I do the Navy an injustice. If I allow my personal antipathy for some officer to influence me against him, when he is doing a superior job, I am doing that officer an injustice. I honestly attempt to be impartial. On how well other reporting officers and I succeed depends, in a large measure, how effective our officer corps will be. It is our duty to do this job well."

Discussion of Fitness Reports

Navy Regulations prohibit the inclusion of any adverse comment in an officer's record without giving him an opportunity to make a statement concerning it. In the Navy, the reporting senior will show fitness reports to officers in the grades of warrant officer (W-1), chief warrant officer (CWO-2) and ensign through lieutenant. He is also required to refer the report to the officer reported on, regardless of rank, if it includes any adverse comments, and the officer concerned is required to make a signed statement, even though it may only be to the effect that he does not wish to make a statement.

In the Marine Corps, the procedure is similar except that the reporting senior cannot show the actual report unless it is unsatisfactory in any respect. This gives the junior the opportunity to make a statement should he desire, and certify, as required, that he has seen the completed report. However,

the senior is encouraged to use fitness report terms in discussing the officer's progress and performance with the junior officer.

Meaning of Fitness Reports to the Junior Officer

Fitness reports constitute accurate and meaningful evaluations of an individual's strong points and shortcomings. Not all commanders counsel their juniors in the same manner. If he so desires, the junior officer may review his reports at the Bureau of Naval Personnel in Washington. Examination of fitness reports can be invaluable since the officer can learn many lessons about himself as others see him, an opportunity which is rarely given in other professions. Except in very unusual cases, a reporting senior is sincere and accurate; consequently, any feeling of resentment should be avoided. If any deficiencies are noted, the junior officer should take steps to correct them.

A junior officer's task assignments are worth doing well. He should perform them to the best of his ability. This includes seeking opportunities to improve himself and his performance. He should be self-motivated, rather than fitness-report oriented. An effectively motivated, task-oriented junior officer should receive good fitness reports.

This is the end of Summary 3. Now, go to Summary Pre-Quiz 3 on the next page.

Summary Pre-Quiz 3

Responsibility for Fitness Reports

Answer the following questions as indicated in your Student Guide.

---

1. With whom does responsibility for the preparation and submission of fitness reports rest?

   a. The reporting senior

   b. The immediate superior of the officer being reported on

   c. The Bureau of Naval Personnel

   d. The reporting senior and the officer reported on

---

2. Which is a responsibility of a reporting senior in the Navy?

   a. He is required to show the fitness report to the officer evaluated, regardless of rank, if the report is unsatisfactory in any respect.

   b. He has the option of showing or not showing the actual fitness report to the officer concerned.

   c. He may discuss an officer's fitness report with him but cannot show the officer the actual fitness report.

   d. He may show the fitness report to the officer concerned but is prohibited from discussing it with the officer.

3. Which correctly identifies statements that can serve as guides for the senior making out a fitness report?

   a. Reports of fitness are decisive in the service career of the individual officer; consequently, reports of an unsatisfactory nature should be kept to a minimum.

   b. Fitness reports are decisive in an officer's career; and as such, officer evaluation should be made as accurately and objectively as possible.

   c. Unsatisfactory fitness reports should not be made available to the officer concerned because of the adverse effects they may have on the officer's future performance.

   d. All of the above

---

4. What opportunity do fitness reports give an officer?

   a. An opportunity to determine any weaknesses, and the chance to take the steps necessary to correct any deficiencies noted.

   b. An opportunity to look at himself through the eyes of his reporting seniors, and thus gain a knowledge about himself that is invaluable.

   c. Both of the above

   d. None of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 3

1. d
2. a
3. b
4. c

If all your answers are correct, go to Summary 4 on page 65. If you missed one or more questions, go to the next page and go through Programed Sequence 3.

Programed Sequence 3

Responsibility for Fitness Reports

OVERVIEW: In this frame sequence, you will learn that the preparation and submission of officer fitness reports are among the most important duties of a reporting officer. You will also learn some general advice that a reporting senior should keep in mind.

---

1 Keeping the record of an officer complete in all respects requires prompt submission of fitness reports. The officer reported on is responsible for submitting his portion of the report form to the reporting senior, and the reporting senior is responsible for completing and forwarding it to the Chief of Naval Personnel.

Who is responsible for the preparation and submission of fitness reports?

a. The reporting senior

b. The officer reported on and his reporting senior

c. Both of the above

d. None of the above

2 CDR Holmes completes the administrative portion of a fitness report worksheet. He then gives the worksheet and a blank fitness report form to COL Otten, who commands the Air Force units for which CDR Holmes is the naval liaison officer. In giving the forms to his reporting senior, CDR Holmes reminds the colonel of the date the completed fitness report must be received in BuPers, and adds that this year he is in the selection zone for Captain; thus, his records must be complete.

With whom does the responsibility for ensuring the report is received on time at the Bureau of Naval Personnel rest?

a. The reporting senior

b. The officer reported on

c. The Chief of Naval Personnel

d. a and b

---

3 Refer to "Officer's Fitness Reports" (Figure 3) on the next page.

Which statements can serve as advice for a reporting senior making out a fitness report?

a. Fitness reports are decisive in an officer's career.

b. Fitness reports can influence the efficiency of the entire service.

c. Fitness report preparation is one of the senior's most important duties.

d. All of the above

e. a and b

EXTRACT FROM U.S. NAVY REGULATIONS, ARTICLE 1701

The fitness of an officer for the service, with respect to promotion and assignment to duty, is determined by his record. Reports of fitness are decisive in the service career of the individual officer, and have an important influence on the entire service. The preparation of these reports is, therefore, one of the most important and responsible duties of a superior officer.

Figure 3. Officer's Fitness Reports

4 Refer to "Extract from the Naval Officer's Guide" (Figure 4) on the next page.

Which of the following may be used as additional advice to guide the reporting senior in making out effective fitness reports?

a. Be impersonal (i.e., objective) and aware of current standards of marking that prevail in the service.

b. Give much thought and consideration to officer fitness reports; don't take the duty lightly.

c. Both of the above

d. None of the above

5 Navy Regulations prohibit placing any adverse matter in an officer's record without giving him an opportunity to make a statement concerning the matter.

What does this mean?

a. Any unfavorable comments or indications of unsatisfactory performance in a fitness report must be referred to the officer reported on for an official statement.

b. The reporting senior has the option of making or not making a comment of an adverse nature and including it in a fitness report.

c. Both of the above

d. None of the above

EXTRACT FROM THE NAVAL OFFICER'S GUIDE SHOWING HOW RESPONSIBILITY RESTS ON THE REPORTING SENIOR

When you are making out fitness reports, you are alone with a piece of paper, God, and your own conscience. I make it a practice to throw out all partisanship, insofar as is humanly possible, and try to evaluate the officer concerned as accurately as I can, keeping in mind the standard of marks and remarks that prevail in the service today. I consider making out these reports the most important single duty that I perform. If I allow myself to be influenced by friendship, because an ineffective young lad has a likable personality, I do the Navy an injustice. If I allow my personal antipathy for some officer to influence me against him, when he is doing a superior job, I am doing that officer an injustice. I honestly attempt to be impartial. On how well other reporting officers and I succeed depends, in a large measure, how effective our officer corps will be. It is our duty to do this job well.

Figure 4. Officer's Fitness Reports

6 Which correctly identifies statements that can serve as advice for the reporting senior making out a fitness report?

a. Fitness reports are decisive in an officer's career; and as such, officer evaluations should be made as accurately and objectively as possible.

b. Reports of fitness are decisive in the service career of the individual officer, and have an important influence on the efficiency of the entire service.

c. Both of the above

d. None of the above

---

7 In making out fitness reports, what do Navy Regulations stipulate?

a. The officer reported on, regardless of rank, must be given the chance to make a statement concerning any comment of an adverse nature.

b. The reporting senior has a responsibility for the completion and submission of fitness reports to the Chief of Naval Personnel.

c. Both of the above

d. None of the above

8 The reporting senior in the Navy has the option of showing and reviewing the fitness report with the officer (LCDR and above) concerned. In the Marine Corps, however, the reporting senior cannot show the actual report unless it is unsatisfactory in any respect. He can, however, discuss the Marine officer's progress and performance in fitness report terms.

Which is true regarding discussion of fitness reports?

a. A reporting senior in the Navy cannot show the officer reported on his fitness report unless it is unsatisfactory.

b. A reporting senior in the Marine Corps may use his own discretion in showing the officer concerned his fitness report and discussing it with him as far as practicable.

c. Both of the above

d. None of the above

---

9 When is showing the officer concerned his fitness report mandatory in both the Navy and the Marine Corps?

a. When it contains any adverse comments

b. When it is marked "below average"

10 Which correctly describes the procedure followed in discussing the fitness report with a Marine officer being evaluated?

a. The Marine Corps prohibits showing an officer his fitness report; however, if the report is unsatisfactory in any respect, the reporting senior must refer the report to the officer reported on. This affords the officer concerned the opportunity to make a statement should he desire, and certify as required that he has seen the completed report. However, the senior is encouraged to use fitness report terms in discussing the officer's progress and performance with him.

b. The Marine Corps recommends that a reporting senior not show the officer his fitness report, although the final decision to make it available is left up to the reporting senior. He is required, however, to show the report if it contains any adverse comments to allow the officer concerned to make an official statement. By showing him the report, the officer reported on has a chance to rectify his faults.

---

11 Which of the following should the reporting senior keep in mind regarding fitness reports?

a. Keep in mind the current standard of marking that prevails in the service. Be as impartial as possible, and remember that fitness reports are decisive in an officer's career.

b. No fitness report should be made out hurriedly. Deal in generalities to present the officer being evaluated in the best possible light. Don't take this responsibility lightly.

12 Fitness reports constitute accurate and meaningful evaluations of an individual's strong points and shortcomings. If he so desires, the junior officer may review his reports at the Bureau of Naval Personnel in Washington. Examination of fitness reports can be invaluable since the officer can learn many lessons about himself as others see him, an opportunity which is rarely given in other professions. Except in very unusual cases, a reporting senior is sincere and accurate; consequently, any feeling of resentment should be avoided. If any deficiencies are noted, the junior officer should take steps to correct them.

SUMMARY: In this frame sequence, you have learned that the preparation and submission of fitness reports are among the most important duties of a reporting senior. You have been given some general advice which should be kept in mind when you are making out fitness reports.

This is the end of Programed Sequence 3. Now, go to the next page and take the Quiz.

Summary Post-Quiz 3

Responsibility for Fitness Reports

Answer the following questions as indicated in your Student Guide.

---

1. Which correctly identifies statements that can serve as guides for the reporting senior making out a fitness report?

   a. Fitness reports are decisive in an officer's career; and as such, officer evaluations should be made as accurately and objectively as possible.

   b. Reports of fitness are decisive in the service career of the individual officer; consequently, reports of an unsatisfactory nature should be kept to a minimum.

   c. Unsatisfactory reports should not be made available to the officer concerned because of the adverse effects they may have on the officer's future performance.

   d. All of the above

---

2. With whom does responsibility for the preparation and submission of fitness reports rest?

   a. The immediate superior of the officer being reported on

   b. The reporting senior

   c. The reporting senior and the officer reported on

   d. The Bureau of Naval Personnel

3. Which is a responsibility of a reporting senior in the Navy?

a. He is required to show the fitness report to the officer evaluated regardless of rank, if the report is unsatisfactory in any respect.

b. He may discuss an officer's fitness report with him but cannot show the officer the actual fitness report.

c. He has the option of showing or not showing the actual fitness report to the officer concerned.

d. He may show the fitness report to the officer concerned but is prohibited from discussing it with the officer.

---

4. What opportunity do fitness reports give an officer?

a. An opportunity to look at himself through the eyes of his reporting seniors, and thus gain a knowledge about himself that is invaluable.

b. An opportunity to determine any weaknesses, and the chance to take the steps necessary to correct any deficiencies noted.

c. Both of the above

d. None of the above

Now, check your answers on page 64.

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ANSWERS TO SUMMARY POST-QUIZ 3

1. a
2. c
3. a
4. c

Now, go to the next page and go through Summary 4.

Summary 4

Preparation of Fitness Reports

Schedule of Preparation

Periodic reports are submitted annually for lieutenants and above and semi-annually for lieutenants (junior grade) and below.

Occasions for reports other than regular are: upon completion of temporary duty, detachment of an officer or his regular reporting senior, and special cases, such as a general court-martial, serious misconduct, or when directed by higher authority.

Fitness Report Forms

The fitness report forms currently in use are "Report on the Fitness of Officers, NAVPERS 1611/1," and "Officers Fitness Report-U.S. Marine Corps, NAVMC 10147-PD." (See pages 67-71.) Note that the USN and USMC fitness reports are different in format. Some of the areas evaluated are unique to the particular service. For example, the USN fitness report includes an evaluation of ship-handling capabilities; whereas, the USMC fitness report includes an evaluation of the tactical handling of troops.

The fitness report form is actually two forms: the smooth report and the worksheet. The forms are identical, except that one is labeled worksheet. When fitness-report-time arrives, each naval officer being reported on is given a worksheet on which to complete the first several items and the receipt form. After the officer being reported on has

completed the worksheet, he turns it over to his immediate superior who makes the initial evaluation and turns the form over to his senior. This procedure is followed up the chain of command to the reporting senior. When the reporting senior has entered his comments, the report is ready for smooth typing.

Finite objectives should be established for subordinate officers and their degree of attainment commented on.

This is the end of Summary 4. Now, go to page 72 and take the Quiz.

NAVPERS 1611/1 (Rev. 12-69) **REPORT ON THE FITNESS OF OFFICERS**

(Refer to BUPERSINST 1611 Series)

1. NAME (Last, first, middle)	2. GRADE	3. DESIGNATOR	4. SSAN	5. FILE NUMBER

6. SHIP OR STATION (at which duty evaluated was performed)

7. DATE REPORTED THIS DUTY STATION

8. OCCASION FOR REPORT: ☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER

9. TYPE OF REPORT: ☐ REGULAR ☐ CONCURRENT ☐ SPECIAL

10. PERIOD OF REPORT: FROM: TO:

11. DUTIES: *(Identify PRIMARY and principal COLLATERAL duties assigned, indicating number of months assigned each during period of report. List Primary duties first. For reports based on other than "Close Observation" indicate after Primary duty the number of months duties assigned followed by the number of months duties were performed physically supervised from the reporting senior, if applicable, (e.g. 6/6). Indicate inclusive dates of periods of non-availability due to hospitalization, temporary additional duty, leave and travel between duty stations. Describe the demands, qualifications necessary, responsibilities, and conditions peculiar to any billet of an unusual nature and not understood by naval officers in general - append separate sheet for this purpose if space is inadequate.)*

12. EMPLOYMENT OF COMMAND (DEPARTMENT/DIVISION/UNIT) DURING PERIOD OF THIS REPORT: *(The setting in which officer displayed his abilities - Do NOT use code, names, unusual or extreme abbreviations)*

13. GENERAL INSTRUCTIONS

(a) ALL EVALUATIONS MADE IN THIS REPORT SHALL BE IN COMPARISON WITH OFFICERS OF THE SAME GRADE, COMPETITIVE CATEGORY (I.E., UNRESTRICTED LINE WITH UNRESTRICTED LINE, SUPPLY CORPS WITH SUPPLY CORPS, ETC.) AND APPROXIMATE TIME IN GRADE WHOM YOU HAVE KNOWN

(b) A MARK IN THE HIGHEST MARKING BOX OF SECTION 15(a) CONSTITUTES A NOMINATION FOR ACCELERATED PROMOTION AHEAD OF YEAR GROUP. SUCH A REPORT, IF NOT COMPLETED BY A FLAG OFFICER, MUST BE FORWARDED VIA THE NEXT SENIOR IN THE CHAIN OF COMMAND FOR REVIEW AND ENDORSEMENT ON SUPPLEMENTAL FORM NAVPERS 1611/5 (REV. 12-69)

(c) REPORTS ON CERTAIN CAPTAINS, IF NOT COMPLETED BY A FLAG OR GENERAL OFFICER, MUST BE FORWARDED VIA THE FIRST FLAG OR GENERAL OFFICER IN THE CHAIN OF COMMAND, FOR ENDORSEMENT AND COMMENT REGARDING FLAG POTENTIAL. USE SUPPLEMENTAL FORM NAVPERS 1611/5, (REV. 12-69).

14. Entries on this report are based on which one of the following relationships?

☐ Close Observation ☐ Frequent Observation ☐ Infrequent Observation ☐ Records and Reports Only

15. PERFORMANCE OF DUTIES: *(Indicate evaluation by "X" in appropriate marking column for each item and provide supporting comments in Section 21)*

(Details of duties noted in Section 11)	NOT OBS OR N A	Outstanding performance.	Excellent performance. Frequently demonstrates outstanding performance.	Very good performance. Frequently demonstrates excellent performance.	Satisfactory performance. Basically qualified.	Inadequate performance. He is not qualified. (Adverse)
(a) EVALUATION OF OVERALL PERFORMANCE OF ALL DUTIES ASSIGNED						
(b) SPECIFIC ASPECTS OF DUTIES (1) SHIPHANDLING AND SEAMANSHIP						
(2) AIRMANSHIP						
(3) SUBSPECIALTY/SPECIALTY (IDENTIFY):						
(4) MANAGEMENT						
(5) AS _____ WATCH/DUTY OFFICER						

16. DESIRABILITY: *Indicate your attitude toward having this officer under your command in the following categories of assignment:*

CATEGORIES	NOT OBS	Particularly desire	Prefer to most	Pleased to have	Satisfied to have	Prefer not to have (Adverse)
(a) COMMAND						
(b) OPERATIONAL						
(c) STAF						
(d) JOINT/OSD						
(e) FOREIGN SHORE						

17. FUTURE ASSIGNMENT: *Based on your observation of this officer's capacity for accepting increased responsibilities, for what type of duty do you consider his best qualified for future assignment - sea and shore? (Including employment in a subspecialty for which best fitted)*

(a) SEA _____

(b) SHORE _____

Comment, if appropriate

18. OVERALL EVALUATION:

(a) BASED ON YOUR OBSERVATION OF THIS OFFICER'S PERFORMANCE AND CONSIDERING EVERYTHING THAT YOU KNOW ABOUT HIM, HOW WOULD YOU DESIGNATE HIM?	NOT OBS	MARK THIS BOX TO NOMINATE FOR ACCELERATED PROMOTION	One of the top few	An excellent officer of great value to the service	A fine and typically effective officer	Entirely satisfactory in present grade	Unsatisfactory (Adverse)
		*					

If you designate more than one in this category, you must indicate this officer's standing in relation to the others (e.g., 1 of 3, 2 of 3, 3 of 3, etc.)

(b) In order to assist report users in making comparison among reports submitted by different seniors with varying standards of evaluation, a reasonably large sampling of the overall evaluations given other officers at this time is required. Accordingly, for reports submitted on this occasion, indicate here how many officers of his grade (including all categories or designators and time in grade) you have marked in each category of (a). Indicate line/staff corps breakdowns within each summary figure. (e.g., 8(6L/2S), 11(9L/2S), etc.) The reporting of no breakdown will indicate that all are the same general category.

19. NAME, GRADE, FILE NUMBER, DESIGNATOR, AND TITLE OF REPORTING SENIOR

Report on the Fitness of Officers NAVPERS 1611/1

(Front)

NAVPERS 1611/1 (Rev. 12-80) (BACK)

20. PERSONAL CHARACTERISTICS: *To what degree has this officer exhibited the following qualities?*

MARKING INSTRUCTIONS *Assign a mark of "X" in the appropriate column for each quality.*	NOT OBSERVED	IS NOT EXCELLENT	ONE OF THE TOP FEW	ABOVE THE MAJORITY	EQUAL TO THE MAJORITY	BELOW THE MAJORITY	BARELY SATISFACTORY	UNSATISFACTORY (EXPLAIN)
(a) PROFESSIONAL KNOWLEDGE *(Comprehension of all aspects of the profession)*								
(b) MORAL COURAGE *(To do what he ought to do regardless of consequences to himself)*								
(c) LOYALTY *(His faithfulness and allegiance to his shipmates, his command, the service and the nation)*								
(d) FORCE *(The positive and enthusiastic manner with which he fulfills his responsibilities)*								
(e) INITIATIVE *(His willingness to seek out and accept responsibilities)*								
(f) INDUSTRY *(The zeal exhibited and energy applied in the performance of his duties)*								
(g) IMAGINATION *(Resourcefulness, creativeness, and capacity to plan constructively)*								
(h) JUDGMENT *(His ability to develop correct and logical conclusions)*								
(i) ANALYTICAL ABILITY *(Logical incisiveness which discriminates between assumption, fact, and hypothesis)*								
(j) DECISIVENESS *(The ability to act rationally and with dispatch within limits of authority assigned or delegated)*								
(k) RELIABILITY *(The dependability and thoroughness exhibited in meeting responsibilities)*								
(l) COOPERATION *(His ability and willingness to work in harmony with others)*								
(m) PERSONAL BEHAVIOR *(His demeanor, disposition, sociability and sobriety)*								
(n) MILITARY BEARING *(His military carriage, correctness of uniform, smartness of appearance and physical fitness)*								
(o) SELF-EXPRESSION *(ORAL) (His ability to express himself orally)*								
(p) SELF-EXPRESSION *(WRITTEN) (His ability to express himself in writing)*								

21. COMMENTS: Make specific comments consistent with marks in other sections. Mention strengths, special accomplishments, or weaknesses. Emphasize displayed potential for professional development and leadership ability and potential for assuming greater responsibilities and promotion. Support nominations for accelerated promotion fully. Comment upon degree of attainment of objectives for which subordinate was accountable. When applicable: comment upon efforts and effectiveness in retention/reenlistment of quality personnel; upon economy displayed by effective use of manpower/material; attention to and use of good material maintenance procedures and engineering practices. Comment on performance in, and contribution to, subspecialty, if appropriate. Mention attainment of specific qualifications (e.g., OOD Underway, plane commander, submarine or destroyer command, etc.). (THIS SPACE MUST NOT BE LEFT BLANK)

22. ADMINISTRATIVE ACTION: (Mark question in this section BEFORE answered)

(a) Significant weaknesses should be discussed with the officer-- Has this been done? ☐ YES ☐ NO *(Explain in Section 21)* ☐ NO SIGNIFICANT WEAKNESSES NOTED

(b) What has been the trend of his performance since your last report? ☐ FIRST REPORT ☐ IMPROVING ☐ CONSISTENT ☐ DECLINING *(Must discuss with officer)*

(c) Has the officer seen this report? ☐ YES ☐ NO

In the interest of maintaining effective communications with subordinates, reporting seniors are encouraged to discuss this report with the officer, but not necessarily show it to him. Has this been done? ☐ YES ☐ NO

(d) Communications which are a direct reflection of this officer's performance should be considered in making comments in Section 21. Such communications may be forwarded separately for file in his Selection Board Jacket. Exception: A copy of a letter of censure (including appeal and denial) must be appended to the first fitness report submitted after it becomes final.

(e) Reports containing matter of an adverse nature (in marks or comments or appended) must be referred for statement pursuant to Navy Regulations. Statement of officer must be endorsed and attached to this report.

23. DATE FORWARDED	SIGNATURE OF REPORTING SENIOR	Concurrent and special reports must be forwarded via the officer's regular reporting senior. To avoid possible loss or misrouting of a concurrent or special report, the receipt form must be mailed direct to BuPers as the concurrent or special report is forwarded to the regular reporting senior.
24. DATE NOTED AND FORWARDED	SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT OR SPECIAL REPORT	

GPO 885-710 A-14001

Report on the Fitness of Officers NAVPERS 1611/1

(Back)

FITNESS REPORT RECEIPT

NAME (Last, first, middle)	2. GRADE	3. DESIGNATOR	4. SSAN	5. FILE NUMBER
6. SHIP OR STATION (at which duty evaluated was performed)	7. COMMAND SUBMITTING CONCURRENT/SPECIAL REPORT			
8. OCCASION FOR REPORT: ☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER	9. TYPE OF REPORT: ☐ REGULAR ☐ CONCURRENT ☐ SPECIAL	10. PERIOD OF REPORT: FROM:	TO:	
FOR CONCURRENT/SPECIAL REPORT INDICATE COMMAND TO WHICH FORWARDED AND DATE FORWARDED (Send this form direct to BUPERS)				
COMMAND:	DATE:			

(Enter below: Grade, Name, File No./Designator and Address and ZIP CODE to which this receipt is to be returned.)

Report received in BUPERS

(ZIP CODE)

NAVPERS 1611/1 (Rev. 12-69) S/N 0105-070-3111

Fitness Report Receipt NAVPERS 1611/1

OFFICER FITNESS—REPORT—U.S. MARINE CORPS (1611)

NAVMC 10147 (REV. 6-63)
(SUPERSEDES 3-57 AND 4-61 EDITIONS WHICH WILL BE USED)

SECTION A

EMBOSSED PLATE IMPRESSION (*Name, Grade, Service No., MOS's*) | EMBOSSED PLATE IMPRESSION (*Organization*)

*1. NAME (*Last*) (*First*) (*Middle initial*) | GRADE USMC ____ | SERVICE NO.

*2. ORGANIZATION

*3. PRIMARY MOS | ADDITIONAL MOS's

4. OCCASION FOR THIS REPORT (*Check appropriate box*)
☐ SEMIANNUAL ☐ DETACHMENT OF OFFICER REPORTED ON (*Enter unit or station to which detached, below*) ☐ CHANGE OF REPORTING SENIOR ☐ CONCURRENT REPORT ☐ OTHER (*Explain below*)

5. PERIOD COVERED: FROM (*Day, month, year*) | TO (*Day, month, year*) | MONTHS

6. PERIODS OF NONAVAILABILITY (30 DAYS OR MORE) (*Explain*)

7. DUTY ASSIGNMENTS DURING PERIOD COVERED: A. REGULAR (*Dates, descriptive title, and duty MOS*)

B. ADDITIONAL (*Descriptive title and number of months*) | MARKSMANSHIP QUALIFICATIONS (*Lieutenants and Captains*)

8. WIFE'S ADDRESS

9. AGE, RELATIONSHIP OF DEPENDENTS REQUIRING TRANSPORTATION

10. OFFICER'S PREFERENCE FOR NEXT ASSIGNMENT (*1st choice*)

(*2nd choice*) | (*3rd choice*)

SIGNATURE OF OFFICER REPORTED ON | DATE

SECTION B (*To be completed by reporting senior*)

11. NAME AND GRADE OF REPORTING SENIOR
USMC ____

12. DUTY ASSIGNMENT

13. RECOMMENDATIONS FOR OFFICER'S NEXT DUTY ASSIGNMENT

14. DURING THE PERIOD COVERED BY THIS REPORT—	YES	NO
(a) Has the work of this officer been reported on in a commendatory way?	☐	☐
(b) Has the work of this officer been reported adversely?	☐	☐
(c) Was this officer the subject of any disciplinary action that should be included on his record?	☐	☐

If YES in (a), (b), or (c), and a report has NOT been submitted to the CMC, attach separate statement of nature and attendant circumstances. If a report has been submitted to the CMC, reference such report below:

15. A. ENTRIES ON THIS REPORT ARE BASED ON (*Check appropriate box*)
☐ DAILY CONTACT AND CLOSE OBSERVATION OF THIS OFFICER'S WORK ☐ FREQUENT OBSERVATIONS OF THIS OFFICER'S WORK ☐ INFREQUENT OBSERVATIONS OF THIS OFFICER'S WORK

15. B. TO BE COMPLETED ON ORGANIZED RESERVE OFFICERS
ATTENDED ____ OF ____ SCHEDULED DRILLS

* If embossed plate impression is used, do not complete items 1, 2, and 3.

Officers Fitness Report--U.S. Marine Corps NAVMC 10147-PD (Rev.6-63)

(Front)

SECTION C *(To be completed in pen and ink by reporting senior)*

Considering the officer reported on in comparison with all other officers of the same grade whose professional abilities are known to you personally, indicate your estimate of this officer by marking "X" in the appropriate spaces below.

16. PERFORMANCE OF DUTY *(Based on fact)*	NOT OBSERVED	UNSATISFACTORY	BELOW AVERAGE	AVERAGE	ABOVE AVERAGE	EXCELLENT	OUTSTANDING
(a) REGULAR DUTIES							
(b) ADDITIONAL DUTIES							
(c) ADMINISTRATIVE DUTIES							
(d) HANDLING OFFICERS							
(e) HANDLING ENLISTED PERSONNEL							
(f) TRAINING PERSONNEL							
(g) TACTICAL HANDLING OF TROOPS *(Unit appropriate to officer's grade)*							

17. TO WHAT DEGREE HAS HE EXHIBITED THE FOLLOWING?							
(a) ENDURANCE *(Physical and mental ability for carrying on under fatiguing conditions)*							
(b) PERSONAL APPEARANCE *(The trait of habitually appearing neat, smart, and well-groomed in uniform or civilian attire)*							
(c) MILITARY PRESENCE *(The quality of maintaining appropriate dignity and soldierly bearing)*							
(d) ATTENTION TO DUTY *(Industry; the trait of working thoroughly and unceasingly)*							
(e) COOPERATION *(The faculty of working in harmony with others, military and civilian)*							
(f) INITIATIVE *(The trait of taking necessary or appropriate action on own responsibility)*							
(g) JUDGMENT *(The ability to think clearly and arrive at logical conclusions)*							
(h) PRESENCE OF MIND *(The ability to think and act promptly and effectively in an unexpected emergency or under great strain)*							
(i) FORCE *(The faculty of carrying out with energy and resolution that which is believed to be reasonable, right or duty)*							
(j) LEADERSHIP *(The capacity to direct, control, and influence others and still maintain high morale)*							
(k) LOYALTY *(The quality of rendering faithful and willing service, and unswerving allegiance under any and all circumstances)*							
(l) PERSONAL RELATIONS *(Facility for establishing and maintaining cordial relations with military and civilian associates)*							
(m) ECONOMY IN MANAGEMENT *(Effective utilization of men, money and materials)*							

18. Considering the possible requirements of service in war, indicate your attitude toward having this officer under your command.

Would you— ☐ NOT OBSERVED ☐ PREFER NOT TO HAVE? ☐ BE WILLING TO HAVE? ☐ BE GLAD TO HAVE? ☐ PARTICULARLY DESIRE TO HAVE?

19. (a) Indicate your estimate of this officer's "General Value to the Service" by marking "X" in the appropriate box:

NOT OBSERVED	UNSATISFACTORY	BELOW AVERAGE		AVERAGE		ABOVE AVERAGE		EXCELLENT		OUTSTANDING
☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

(b) Show distribution of all Item 19. (a) markings awarded officers of his grade for this reporting occasion:

___	___	___	___	___	___	___	___	___	___	___

SECTION D *(To be completed by reporting senior in pen and ink.)* *Record in this space a concise appraisal of the professional character of the officer reported on. (This space must not be left blank.)*

SECTION E *(To be completed by the reporting senior)*

I CERTIFY that to the best of my knowledge and belief all entries made hereon are true and without prejudice or partiality.

_____ _____
(Signature of reporting senior) *(Date)*

SECTION F *(To be completed when required)*

I have seen this completed report. *(Check One)*

☐ I HAVE NO STATEMENT TO MAKE

☐ I HAVE ATTACHED A STATEMENT

_____ _____
(Signature of officer reported on) *(Date)*

SECTION G *(To be completed by reviewing officer)*

NAME OF REVIEWING OFFICER _____ GRADE _____ US _____

DUTY ASSIGNMENT _____ INITIALS _____

* U.S. GOVERNMENT PRINTING OFFICE : 1967 O—270-067

Officers Fitness Report--U.S. Marine Corps NAVMC 10147-PD (Rev.6-63)

(Back)

Summary Pre-Quiz 4

Preparation of Fitness Reports

Answer the following questions as indicated in your Student Guide.

---

1. Which correctly describes the procedure followed in the preparation of fitness reports?

   a. After completion of a worksheet form by the officer being reported on, a final fitness report is made out by the first officer in the chain of command who is the officer's senior.

   b. After the officer being reported on has completed a specified portion of the worksheet form, rough reports are then begun with the officer's immediate senior and proceed up the chain of command to the reporting senior, who enters his comments and prepares the smooth report.

   c. The reporting senior, after reviewing the officer's personal evaluations of his abilities, forwards the worksheet form down the line for confirmation, corrections, and recommendations before entering his own comments.

   d. Preliminary or "rough" reports are prepared by all senior officers under whom the officer being reported on has performed duties. These reports are then forwarded to the officer's immediate superior who prepares a smooth report from them.

---

2. Reports are submitted annually for officers in which of the following grades?

   a. Lieutenants and above

   b. Lieutenants (junior grade) and below

   c. Captains

   d. Lieutenant commanders only

3. How are fitness reports which are submitted when directed by higher authority classified?

a. Regular fitness reports

b. Special fitness reports

c. Periodic fitness reports

d. Additional fitness reports

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 4

1. b
2. a
3. b

If all your answers are correct, go to Summary 5 on page 87. If you missed one or more questions, go through Programed Sequence 4 on the next page.

Programed Sequence 4

Preparation of Fitness Reports

OVERVIEW: Fitness reports must be submitted on every officer in the Navy. In this frame sequence, you will learn some of the occasions for submission of reports, and you will also examine the fitness report format (Navy and Marine Corps). The steps involved in the preparation of fitness reports will be covered.

---

1 Refer to "Occasions for Preparation of Fitness Reports" (Figure 5) on the next page in answering Frames 1 through 6.

Regular periodic reports on the fitness of officers are submitted as follows:

Lieutenants and above--annually

Below lieutenants--semi-annually

When would fitness reports for ensigns and lieutenants (junior grade) be submitted?

a. Annually

b. Semi-annually

c. Both of the above

d. None of the above

[2] Regular periodic reports are submitted annually for officers of what grade?

a. Lieutenants and above

b. Lieutenants (junior grade) and below

c. Both of the above

d. None of the above

EXTRACT FROM U.S. NAVY REGULATIONS, ARTICLE 1701

1. Regular periodic reports:

   a. Submitted annually for lieutenants and above and semi-annually for lieutenants (junior grade) and below

2. Nonregular reports:

   a. Submitted upon completion of temporary duty

   b. Submitted upon detachment of an officer or his regular reporting senior

   c. When directed by higher authority

   d. When an officer is recommended for trial by general court-martial

   e. When an officer is guilty of serious misconduct or marked inefficiency

Figure 5. Occasions for Preparation of Fitness Reports

3 Which correctly describes submission of regular periodic reports for naval officers?

a. Regular periodic reports are submitted annually for lieutenants and above and semi-annually for lieutenants (junior grade) and below.

b. Reports on the fitness of officers are submitted as follows: annually for lieutenants (junior grade) and below and semi-annually for lieutenants and above.

c. Both of the above

d. None of the above

---

4 An officer is ordered to duty for training in gunfire support at a location other than his permanent station. At the end of his training period, a fitness report is submitted.

Which correctly identifies the occasion for the report?

a. Permanent detachment of an officer

b. Completion of temporary duty

c. Both of the above

d. None of the above

---

5 ENS Shaw has been transferred from a shore station billet to a DD. Upon his detachment from the shore station billet, a fitness report on ENS Shaw is submitted.

Which correctly identifies the occasion for the report?

a. Detachment of an officer or his regular reporting senior

b. Requirement specified by higher authority

c. Both of the above

d. None of the above

6 In addition to regular fitness reports, nonregular reports of fitness are also submitted.

Which correctly lists occasions when such reports would be required?

a. Upon recommendation for trial by general court-martial or when directed by higher authority.

b. Upon detachment of an officer or his regular reporting senior, or upon serious misconduct or marked inefficiency on the part of the officer reported on.

c. Both of the above

d. None of the above

---

7 When are reports on the fitness of officers submitted?

a. Periodically: annually for lieutenants and above and semi-annually for lieutenants (junior grade) and below, and upon detachment of an officer or his regular reporting senior.

b. Upon completion of temporary duty and in special cases such as general court-martial, serious misconduct, or when directed by higher authority.

c. Both of the above

d. None of the above

8 Refer to the fitness report forms (Navy and Marine Corps) on pages 67-71 in answering frames 8 and 10. The fitness report forms currently in use are Reports on the Fitness of Officers, NAVPERS 1611/1, and Officer Fitness Report--U.S. Marine Corps, NAVMC 10147-PD.

In what way are the Navy and Marine fitness reports different?

a. Different in both content and format

b. Different in content but not format

c. Both of the above

d. None of the above

---

9 The USN fitness report includes an evaluation of ship handling capabilities (Item 15); whereas the USMC fitness report includes an evaluation of the tactical handling of troops (Item 16).

10 Which statement correctly identifies the distinction between the USN and USMC fitness reports?

a. Some of the areas evaluated are unique to the particular service

b. The formats of the USN and USMC fitness reports are different

c. Both of the above

d. None of the above

---

11 Which correctly lists occasions for the submission of fitness reports?

a. Upon completion of temporary duty or, in special cases, such as serious misconduct or marked inefficiency.

b. Periodically: annually for all officers below flag rank or upon detachment of an officer or his regular reporting senior.

c. Both of the above

d. None of the above

12 The fitness report form is actually two forms: the smooth report (the one submitted to BuPers), and the worksheet (preliminary or rough reports for the reporting senior's information). The forms are identical, except that one is labeled worksheet. When fitness-report time arrives, each naval officer being reported on is given a worksheet on which to complete the first several items and the fitness report receipt.

What is the first step in the preparation of fitness reports?

a. To make available to the officer being reported on a smooth and rough report and have him complete the first several items on both forms.

b. To have the officer concerned complete a specified portion of the worksheet form.

c. Both of the above

d. None of the above

---

13 Once the officer reported on has completed his portion of the worksheet form, he turns it over to his immediate superior who makes the initial evaluation.

What is the next step in the preparation of fitness reports?

a. A preliminary or rough evaluation of the officer concerned by his immediate superior.

b. The initialing of the worksheet by the officer's immediate senior.

c. Both of the above

d. None of the above

14 After the officer's immediate superior has made his rough report, he forwards the form to his senior, who reviews the comments to the immediate superior, enters his recommendations if any, and forwards the form on up the line. This procedure is followed up the chain of command to the reporting senior.

Aboard ship, what would be the normal procedure in the preparation of a fitness report on a division officer?

a. Division officer completes specified portion of worksheet.

   Executive officer makes rough evaluation and submits to department head.

   Department head enters his comments and forwards to executive officer.

   CO reviews report, enters his comments, and submits to BuPers.

b. Division officer completes specified portion of worksheet.

   Department head makes initial evaluation.

   Executive officer reviews report and enters recommendations.

   CO enters his comments and readies report for smooth typing.

c. Both of the above

d. None of the above

15 Recall that in making out fitness reports, a realistic objective evaluation of individual officers is essential.

What should officers charged with the responsibility of making out fitness reports do?

a. Avoid being too general or too subjective

b. Examine the officer's duty assignment and make an assessment as to how well he accomplished his mission

c. Both of the above

d. None of the above

---

16 Which paragraph correctly describes the procedure followed in preparing a fitness report?

a. At fitness report time, the officer being evaluated is given a worksheet on which he completes a specified portion. He then forwards the worksheet to the commanding officer who makes the initial evaluation and he returns the form to the immediate superior for comment. When the reporting senior has entered his comments, the report is ready for smooth typing.

b. After the officer being evaluated completes his portion of the worksheet, rough reports are submitted to the officer's immediate superior and proceed up the chain of command to the reporting senior, who then enters his comments, submits it for smooth typing, signs and forwards it to BuPers.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 4. Now, go to the next page and take the Quiz.

Summary Post-Quiz 4

Preparation of Fitness Reports

Answer the following questions as indicated in your Student Guide.

---

1. How are fitness reports which are submitted when directed by higher authority classified?

   a. Regular fitness reports

   b. Periodic fitness reports

   c. Special fitness reports

   d. Additional fitness reports

---

2. Which correctly describes the procedure followed in the preparation of fitness reports?

   a. After completion of a worksheet form by the officer being reported on, a final fitness report is made out by the first officer in the chain of command who is the officer's senior.

   b. Preliminary or "rough" reports are prepared by all senior officers under whom the officer being reported on has performed duties. These reports are then forwarded to the officer's immediate superior who then prepares a smooth report from them.

   c. The reporting senior, after reviewing the officer's personal evaluations of his abilities, forwards the worksheet form down the line for confirmation, corrections, and recommendations before entering his own comments.

   d. After the officer being reported on has completed a specified portion of the work-sheet form, rough reports are then begun with the officer's immediate senior and proceed up the chain of command to the reporting senior, who enters his comments and prepares the smooth report.

3. Reports are submitted annually for officers in which of the following grades?

a. Lieutenants (junior grade) and below

b. Lieutenants and above

c. Captains

d. Lieutenant commanders only

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 4

1. c
2. d
3. b

Now, go to the next page and go through Summary 5.

Summary 5

Selection and Promotion

Selection for Promotion

The major principle of the naval officer promotion system is that of "promotion by selection" as distinguished from "promotion by seniority."

To determine which officers are best qualified for promotion, the Secretary of the Navy convenes a selection board (once a year for each grade), and charges it with the selection of a specified number of officers for promotion from a list of furnished names. The report of the selection board is submitted to the Secretary of the Navy for his recommendation and submission to the President.

The grade distribution limits and the normal promotion flow-rate written into the law are calculated to force attrition at each promotion point, from lieutenant through captain.

Officers Not Selected for Promotion

Retention or separation of officers who are twice passed over for promotion is defined by law. Lieutenants (junior grade) and lieutenants must be honorably discharged unless otherwise eligible for retirement. Lieutenant commanders, commanders, and captains remain eligible for promotion consideration and are retained on active duty until they have completed 20, 26, and 30 years of total commissioned service, respectively. They are then involuntarily retired if not on a promotion list.

This is the end of Summary 5. Now, go to the next page and take the Quiz.

Summary Pre-Quiz 5

Selection and Promotion

Answer the following questions as indicated in your Student Guide.

---

1. What is the major principle used in naval officer promotion?

   a. Seniority

   b. Selection

   c. Distribution

   d. Merit

---

2. If there are more officers than vacancies in the next higher grade when a given class of officers reaches each promotion point, what course of action must be taken?

   a. Attrition must be forced

   b. Grade distribution board limits are restated

   c. A selection board must be convened

   d. Accelerated promotions are effected

3. What action is taken when lieutenants (junior grade) and lieutenants fail of selection twice?

a. They are allowed to serve and remain eligible for promotion for a specified time.

b. They are honorably discharged unless eligible for retirement.

c. They are demoted to the next lower grade.

d. They are reevaluated by a special selection board.

Now, check your answers on page 90.

ANSWERS TO SUMMARY PRE-QUIZ 5

1. b
2. a
3. b

If all your answers are correct, you have completed this segment. If you missed one or more questions, go through Programed Sequence 5 on the next page.

Programed Sequence 5

Selection and Promotion

OVERVIEW: In this frame sequence, you will learn the Navy's policy regarding selection and promotion of officer personnel.

---

1 Federal law specifies that officers in various grades be distributed in certain proportions. For example, distribution might be as follows: 6 percent in the grade of Captain, 12 percent in the grade of commander, etc.

What is the reason for distribution limits?

a. To maintain a stable grade structure

b. To provide for a normal flow of promotion

c. Both of the above

d. None of the above

---

2 Officers of the Navy are recommended for promotion by boards convened by the Secretary of the Navy. The names and records of all eligible officers are furnished these boards; and from among these officers are chosen those who in the opinion of the board are best fitted for promotion.

What is the major principle of the naval officer promotion system?

a. Promotion by selection

b. Promotion by seniority

c. Both of the above

d. None of the above

3 After the selection board has impartially considered the cases of all officers whose names are furnished, their report is submitted to the Secretary of the Navy for his recommendation and submission to the President for approval.

Which statement is correct?

a. Selectees chosen for promotion by the board are final and need not be confirmed.

b. Selectees chosen for promotion by the board are subject to approval by the President.

---

4 What is the major principle of naval officer promotion?

a. Promotion by selection in which time in grade (seniority) is the method used for selecting

b. Promotion by selection, in which a board is charged with selecting a stipulated number of eligible officers

---

5 At each higher level in the promotion pyramid, there is provision for fewer officers than in the next lower grade. Within a given grade, therefore, all officers cannot be promoted. Selection of officers for promotion is a natural form of attrition of a list of those considered for promotion. So, also, would be voluntary retirements, fulfillment of obligated service, deaths, etc. Involuntary retirements and involuntary separations caused by being twice passed over for promotion represent forced attritions.

Which would be forced attrition?

a. Officers who voluntarily resign from the service

b. Officers who are twice passed over for promotion by the selection board

6 The grade distribution limits and the normal promotion flow rate written into the law are calculated to force attrition at each promotion point from lieutenant to Captain.

What does this mean?

a. That promotion above Captain is automatic

b. That only a certain number of officers can be selected fo promotion

---

7 Refer to the "Extract from Personnel Administration (NAVPERS 10848)" (Figure 6) below.

What action is taken when lieutenants and lieutenants (junior grade) fail of selection twice?

a. They are honorably discharged with severance pay on the last day of the fiscal year in which the second failure occurs.

b. They are allowed to continue to serve for a specified time and remain eligible for promotion.

EXTRACT FROM PERSONNEL ADMINISTRATION (NAVPERS 10848)

Lieutenants (junior grade) and lieutenants who twice fail of selection are required by law to be honorably discharged with lump-sum severance pay on the last day of the fiscal year in which the second failure occurs. Lieutenant commanders, commanders, and captains who twice fail of selection to the next higher grade may continue to serve and remain eligible for consideration for promotion. Upon completion of 20, 26, and 30 years of total commissioned service, respectively, they are involuntarily retired if not on a promotion list.

Figure 6. Failure of Selection

8 What action is taken when captains, commanders, and lieutenant commanders are twice passed over?

a. They are involuntarily retired if not on a promotion list upon completion of 30, 26, and 20 years of total commissioned service, respectively.

b. They may continue to serve and remain eligible for promotion.

c. Both of the above

d. None of the above

---

9 Which paragraph correctly describes the Navy's policy regarding selection and promotion?

a. The major principle of the naval officer promotion system is that of "promotion by selection." The Secretary of the Navy convenes a selection board to determine which officers are best qualified. The board is charged with the selection of a specified number of officers from a list of those being considered for promotion.

b. Advancement of eligible officers is based on "promotion by selection" and is automatic. Except for prescribed conditions such as physical disabilities, the years of service in grade and total commissioned service determine promotion to the next higher grade.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 5. Now, go to the next page and take the Quiz.

Summary Post-Quiz 5

Selection and Promotion

Answer the following questions as indicated in your Student Guide.

---

1. What action is taken when lieutenants (junior grade) and lieutenants fail of selection twice?

   a. They are allowed to serve and remain eligible for promotion for a specified time.

   b. They are reevaluated by a special selection board.

   c. They are honorably discharged unless eligible for retirement.

   d. They are demoted to the next lower grade.

---

2. What is the major principle used in naval officer promotion?

   a. Distribution

   b. Seniority

   c. Selection

   d. Merit

3. If there are more officers than vacancies in the next higher grade when a given class of officers reaches each promotion point, what course of action must be taken?

a. Grade distribution board limits are restated.

b. Accelerated promotions are effected.

c. A selection board must be convened.

d. Attrition must be forced.

Now, check your answers on page 98.

BLANK

ANSWERS TO SUMMARY POST-QUIZ 5

1. c
2. c
3. d

This is the end of Part Eleven, Segment III.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segment III

Officer Evaluation

Progress Check

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

OFFICER EVALUATION

PROGRESS CHECK

Question 1.

Administrative procedures concerning the evaluation of officer personnel have been developed to implement the federal law.

Who is responsible for decisions on officer promotions, discharges and retirements?

a. Chief of Naval Personnel

b. Secretary of the Navy

c. Secretary of Defense

d. Chief of Naval Operations

Question 2.

Select the statement which correctly describes why administrative procedures were developed for officer evaluation.

a. Administrative procedures were developed for officer evaluation because these evaluations must conform closely to standards established by the Uniform Code of Military Justice.

b. Administrative procedures were developed for officer evaluation so that all officers can be evaluated subjectively.

c. Administrative procedures were developed for officer evaluation because officers and enlisted men must be judged on the same standards.

d. Administrative procedures governing evaluation of officer personnel have been developed to implement the federal law.

Question 3.

Select the statement which defines the general purpose and importance of fitness reports.

a. Fitness reports provide the data from which senior officers choose subordinate officers for assignments. The reports are necessary for evaluating the absolute merits of equally experienced officers.

b. Fitness reports provide data for officer selection boards but little guidance for detail officers. The reports are necessary for evaluating the absolute merits of officers of different experience.

c. Fitness reports provide a record of an officer's performance of duty for selection boards and also guidance for detail officers. The reports are necessary for a selection board to evaluate the relative merits of officers of the same rank being considered for promotion.

d. Fitness reports provide guidance for BuPers in assigning officer personnel. The reports are necessary if justifiable evaluations of equally or similarly experienced officers are to be made.

Question 4.

Select the statement which identifies the probable consequences of failure to provide realistic, objective officer evaluations.

a. The failure to provide realistic, objective officer evaluations is an offense punishable by the Uniform Code of Military Justice.

b. The failure to provide realistic, objective officer evaluations leads to a general decline in morale throughout the enlisted ranks.

c. The failure to provide realistic, objective officer evaluations is an injustice to the careers and opportunities of able and competent officers.

d. The failure to provide realistic, objective officer evaluations might endanger mission accomplishment by precipitating serious morale problems within the officer corps.

Question 5.

ENS Mele has exhibited conduct which is a credit to the United States Navy and himself. By actively pursuing his assignments, ENS Mele was an excellent example to his men. His direct application of various engineering principles was recognized by many more experienced senior officers. His ability to cope with emergency situations reflected maturity beyond his chronological age.

Select the statement which describes the leadership evaluation factors identified by Stogdill utilized in the above example.

a. The evaluation factors utilized are military appearance, capacity, and achievement.

b. The evaluation factors utilized are responsibility, dependability, and self-confidence.

c. The evaluation factors utilized are capacity, responsibility, and achievement.

d. The evaluation factors utilized are discipline, esprit de corps, and responsibility.

Question 6.

LTJG Reynolds was about to complete his tour aboard the USS Preston. The Commanding Officer, CDR Sully, reminded LCDR Koehler, the Executive Officer, that LTJG Reynolds' fitness report had to be completed. LCDR Koehler then passed this information on to LTJG Reynolds.

Select the statement which identifies the officer, in the above example, who is responsible for the fitness report.

a. CDR Sully is ultimately responsible since he is the unit Commanding Officer.

b. As Reynolds' senior, LCDR Koehler alone is responsible for the fitness report.

c. Both CDR Sully and LTJG Reynolds are responsible for the fitness report.

d. LTJG Reynolds is responsible for ensuring that his fitness report is completed before changing his duty station.

Question 7.

Select the statement which best explains the meaning of fitness reports to the junior officer.

a. Fitness reports are important to the junior officer because they provide him with assurances of promotion.

b. Fitness reports are important to the junior officer because he may review them and learn many lessons about himself.

c. Fitness reports are important to the junior officer because he may review them and learn the evaluation criteria his seniors use to criticize him.

d. Fitness reports are important to the junior officer because they distinctly separate his performance from others of his rank.

Question 8.

Select the statement which correctly describes the Navy's policy regarding selection and promotion.

a. The Navy's policy regarding selection and promotion is based on "selection by seniority" and "promotion by seniority."

b. The Navy's policy regarding selection and promotion is to first select an officer based on his seniority and test results, and then promote him if his qualifications surpass others in his grade.

c. The Navy's policy regarding selection and promotion is to convene a selection board, once a year for each grade, and charge it with the selection of a specified number of officers for promotion from a list of furnished names. This is "promotion by selection."

d. The Navy's policy regarding selection and promotion is to annually submit a list of senior officers in a particular grade to the Secretary of the Navy for promotion. This is "promotion by seniority."

Question 9.

Select the statements which can be used as guides for the reporting officer.

1. Fitness reports are decisive in an officer's career.
2. Fitness reports are personal, not impersonal. They should reflect the superior's subjective judgment.
3. Fitness reports do not influence the efficiency of the Navy, but do affect the individual significantly.
4. The evaluating officer should be aware of current standards of marking that prevail in the service.

a. 1 and 3

b. 2 and 4

c. 2 and 3

d. 1 and 4

PROGRESS CHECK ANSWER AND REMEDIATION FORM

PART Eleven SEGMENT III

REMEDIATION TEXT Syndactic Text, Vol-XI

ITEM	ANSWER	REMEDIATION REFERENCE
1	b	Summary 1 Page 1
2	d	Summary 1 Page 1
3	c	Summary 1 Page 1
4	c	Summary 1 Page 2
5	c	Summary 2 Page 25
6	c	Summary 3 Page 47
7	b	Summary 3 Page 49
8	c	Summary 5 Page 87
9	d	Summary 3 Pages 47-48
10		
11		
12		
13		
14		
15		

PROGRAM FRAME ANSWERS

PART ELEVEN

Segments I, II, & III

PROGRAM FRAME ANSWERS

PART Eleven SEGMENT I TYPE Syndactic Text PAGE 1 OF 1 PAGES

FRAME OR QUESTION NUMBER	CORRECT ANSWER
PROGRAMED SEQUENCE 1	
1	a
2	c
3	c
4	a
5	b
6	c
7	b
8	b
9	a
10	a
11	c
12	a
13	b
14	c
15	a
16	b
17	b
18	a
19	b
20	c
21	a

FRAME OR QUESTION NUMBER	CORRECT ANSWER
22	d
PROGRAMED SEQUENCE 2	
1	a
2	b
3	a
4	c
5	a
6	a
7	b
8	b
9	b
10	a
11	c
12	a
PROGRAMED SEQUENCE 3	
1	b
2	a
3	c
4	b
5	a
6	a
7	b

FRAME OR QUESTION NUMBER	CORRECT ANSWER
8	a
9	b
10	b
11	b
12	c
13	c
14	a
15	a
16	b
17	c
PROGRAMED SEQUENCE 4	
1	c
2	b
3	a
4	c
5	b
6	c
7	c
8	a
9	a
10	b
11	b

FRAME OR QUESTION NUMBER	CORRECT ANSWER
12	a
13	d
14	c
15	a
16	b
17	a
18	c
19	b
20	a

PROGRAM FRAME ANSWERS

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FRAME OR QUESTION NUMBER	CORRECT ANSWER
PROGRAMED SEQUENCE 1	
1	a
2	c
3	b
4	c
5	c
6	d
7	No Response
8	c
9	b
10	c
PROGRAMED SEQUENCE 2	
1	a
2	c
3	No Response
4	b
5	No Response
6	c
7	b
8	c
9	b
10	c

PROGRAM FRAME ANSWERS

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FRAME OR QUESTION NUMBER	CORRECT ANSWER
PROGRAMED SEQUENCE 1	
1	b
2	a
3	a
4	b
5	b
6	c
7	a
8	b
9	c
10	a
11	b
12	b
13	d
14	b
15	c
16	a
17	a
18	c
19	b
20	d
21	a

FRAME OR QUESTION NUMBER	CORRECT ANSWER
22	c
23	c
24	b
25	a
PROGRAMED SEQUENCE 2	
1	b
2	c
3	a
4	a
5	c
6	b
7	d
8	b
9	a
10	a
11	b
12	a
13	b
14	a
15	a
16	c
17	b

FRAME OR QUESTION NUMBER	CORRECT ANSWER
18	a
19	d
20	a
21	b
22	b
23	a
24	a
25	c
26	b
27	b
28	a
PROGRAMED SEQUENCE 3	
1	b
2	d
3	d
4	c
5	a
6	c
7	c
8	d
9	a
10	a

FRAME OR QUESTION NUMBER	CORRECT ANSWER
11	a
12	NO RESPONSE
PROGRAMED SEQUENCE 4	
1	b
2	a
3	a
4	b
5	a
6	c
7	c
8	a
9	NO RESPONSE
10	c
11	a
12	b
13	a
14	b
15	c
16	b

PROGRAM FRAME ANSWERS

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FRAME OR QUESTION NUMBER	CORRECT ANSWER
PROGRAMED SEQUENCE 5	
1	c
2	a
3	b
4	b
5	b
6	b
7	a
8	c
9	a